



**Office of the  
Secretary of Defense**

# **Records Management**

## **Administrative Procedures and Records Disposition Schedules**

**August 1994**

**Director of Administration and Management  
Office of the Secretary of Defense**



## OFFICE OF THE SECRETARY OF DEFENSE

WASHINGTON, DC 20301

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Administration  
& Management

### ADMINISTRATIVE INSTRUCTION NO. 15

SUBJECT: Administrative Procedures and Records Disposition  
Schedules

- References:
- (a) Administrative Instruction No. 15, "OSD Records Management Program," April 28, 1981 (hereby canceled)
  - (b) DoD Directive 5110.4, "Washington Headquarters Services," May 6, 1991
  - (c) DoD Directive 5015.2, "Records Management Program," March 22, 1991
  - (d) Chapters 29, 31, and 33 of title 44, United States Code
  - (e) through (ee), see enclosure 2

#### A. PURPOSE

This Instruction reissues reference (a) to update procedures for the maintenance and disposition of Office of the Secretary of Defense records and implements reference (b), which assigns responsibility to the Director, Washington Headquarters Services, for the records management program under references (c), (d), and (e).

#### B. APPLICABILITY

This Instruction applies to the Office of the Secretary of Defense (OSD) and activities for which the Washington Headquarters Services (WHS) provides administrative support (hereafter referred to collectively as "the OSD Components").

#### C. DEFINITIONS

Terms used in this Instruction are defined in enclosure 3.

#### D. POLICY

It is OSD policy to limit the creation of records to those essential for the efficient conduct of official business and to preserve those of continuing value while systematically eliminating all others, and to ensure their management in compliance with Chapter 31 of 44 U.S.C (reference (d)), 36 CFR (reference (e)), and 41 CFR (reference (f)).

## E. RESPONSIBILITIES

a. The Director, Washington Headquarters Services, under DoD Directive 5110.4 (reference (b)), shall:

(1) Direct and administer the records management program for OSD Components.

(2) Provide guidance to OSD Components for the creation, organization, maintenance, use, and disposition of all their records.

(3) Cooperate with the National Archives and Records Administration (NARA) in developing and applying standards, procedures, and techniques designed to improve the management of records; ensure the maintenance and security of records of continuing value; and facilitate the identification, segregation, and disposal of all records of temporary value.

(4) Ensure compliance with 41 CFR (reference (f)).

(5) Coordinate with the Deputy Assistant Secretary of Defense (Information Systems), Office of the Assistant Secretary of Defense (Command, Control, Communications, and Intelligence, on records management matters pertaining to automated data processing (ADP) and records.

(6) Designate the Records Management Division, Correspondence and Directives (C&D) Directorate, WHS, as the office of record and the point of contact for records management activities.

b. The OSD Records Administrator (Chief, Records Management Division), Correspondence and Directives, Washington Headquarters Services, shall, as prescribed by DoD Directive 5015.2 (reference (c)):

(1) Establish a comprehensive OSD records management program to support the requirements of the above references.

(2) Ensure effective control over the organization, maintenance, use, designation, and disposition of all OSD Components' records.

(3) Develop and apply standards, procedures, and techniques for improving records management; ensuring the maintenance and timely retirement of records of continuing value; and facilitating the segregation and disposal of all records of temporary value.

(4) Coordinate the efforts of OSD Components in implementation of this Instruction.

(5) Act as the liaison official with the NARA, other government agencies, private industry, and private citizens on records management matters.

(6) Institute a records management evaluation program pursuant to 36 CFR and 41 CFR (references (e) and (f)) to ensure compliance of OSD Components and to provide for improvements and changes to existing procedures and records schedules to reflect current mission and organizational requirements. Ensure that appropriate OSD personnel receive adequate records management training, either through the auspices of other agencies, e.g., National Archives & Records Administration, General Services Administration, or in-house programs.

(7) Ensure that all policies and important decisions on records management are adequately documented and recorded.

(8) Ensure that the micrographics program is managed in an economical and efficient manner in accordance with AI No. 85 (reference (g)).

(9) Manage the declassification screening program of permanently valuable classified information over 20 years old, in accordance with DoD 5200.1-R, DoD Directive 5200.30, and AI No. 49 (references (h) through (j)).

(10) Monitor the acquisition of records management equipment, such as file cabinets or micrographics systems.

(11) Provide OSD Components with advice and management assistance at the time of creation of new records systems, to ensure adequate documentation, retention, and disposal.

(12) Provide advice and assistance to OSD Components on the identification, segregation, retention, and disposition of personal papers in accordance with 36 CFR and 41 CFR (references (e) and (f)).

(13) Coordinate, control, and supervise access to OSD records essential for historical research, ensuring that appropriate safeguards for information security and personal privacy, as outlined by DoD Directive 5200.30 (reference (i)), and DoD Directive 5400.11, (reference (k)), are maintained.

(14) Exercise management control over the transfer of records to and retrieval from the Federal Records Centers.



c. The Heads of the OSD Components shall:

(1) Establish within their offices a records management program to support the requirements outlined in the above references and with the regulations issued thereunder.

(2) Provide the continued analysis and improvement in records management programs necessary to ensure that records are maintained economically and efficiently.

(3) Ensure that the equipment selected for purchase is the most efficient and economical for the specific operations planned.

(4) Institute measures to ensure that records of continuing value are preserved and that appropriate disposition or retirement is made of records no longer of current use.

(5) Appoint individuals to perform the records management functions in their offices and to act in liaison with the OSD Records Administrator. (Preferably these should be the same individuals who are responsible for Privacy Act matters (reference k)).

(6) Forward requests for filing and micrographic equipment through the OSD Records Administrator to the Director for Real Estate and Facilities, WHS.

(7) Appoint contacts for declassification screening, in accordance with AI No. 49 (reference (j)).

(8) Ensure that the policies and provisions of DoD Directive 7750.5 (reference (l)) are followed in the creation of OSD records.

(9) Ensure that essential documents and records needed for continuity of operations are identified and preserved in compliance with DoD Directive 3020.26 (reference (m)).

(10) Ensure that NATO documents are handled in accordance with AI No. 27 (reference (n)).

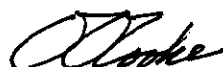
(11) Caution all employees not to transfer or destroy records in their custody except as allowed under 44 U.S.C. (reference (d)) and this Instruction, and ensure they are made aware of their legal responsibility to report to the appropriate officials any actual, impending, or threatened unlawful removal, alteration, or destruction of Federal records.

F. PROCEDURES

OSD Component records disposition schedules will be found in enclosure 4. Enclosures 5 through 12 address in detail specific functions of the OSD Records Management Program.

G. EFFECTIVE DATE

This Instruction is effective immediately.



D. O. Cooke  
Director of Administration  
and Management

Enclosures -- 13

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REFERENCES, continued

(e) Title 36, Code of Federal Regulations, Chapter XII, "National Archives and Records Administration," Subchapter B, "Records Management," current edition

(f) Title 41, Code of Federal Regulations, Chapter 201, "Federal Information Resources Management Regulation," current edition

(g) Administrative Instruction No. 85, "Micrographic Policy," March 19, 1981

(h) DoD Directive 5200.1R, "Information Security Program Regulation," June 1986, authorized by DoD Directive 5200.1, June 7, 1982

(i) DoD Directive 5200.30, "Guidelines for Systematic Declassification Review of Classified Information in Permanently Valuable DoD Records," March 21, 1983

(j) Administrative Instruction No. 49, "Systematic Review of 20-Year-Old Classified Records," February 12, 1980

(k) DoD Directive 5400.11, "Department of Defense Privacy Program," June 9, 1982

(l) National Archives and Records Administration Bulletin 89-2, "Disposition of Federal Records and Personal Papers," November 14, 1988

(m) DoD Directive 8910.1, "Management and Control of Information Requirements," June 11, 1993

(n) DoD Directive 3020.26, "Continuity of Operations Policy and Planning," October 24, 1985

(o) Administrative Instruction No. 27, "Control of North Atlantic Treaty Organization Classified Documents," October 4, 1982

(p) General Records Schedules, "National Archives and Records Administration," current edition

(q) Executive Order 12356, "National Security Information," April 2, 1982

(r) Title 10, Code of Federal Regulations Part 20, "Standards For Protection Against Radiation" current edition

(s) Federal Personnel Manual 293-31, "Guide to Personnel Recordkeeping," to be issued Fall 1994

(t) Title 29, Code of Federal Regulations 1613.222, "Equal Employment Opportunity in the Federal Government" current edition

(u) Title 5, Code of Federal Regulations 771, "Agency Administration Grievance System" current edition

(v) Executive Order 12564, "Drug-Free Federal Workplace," September 15, 1986

(w) Public Law 100-71, Section 503 (101 Stat. 468), "Title V - General Provisions," July 11, 1987

(x) 5 USC 552a, "Privacy Act of 1974," as amended

(y) DoD Directive 7220.9-M, "DoD Accounting Policy," October 24, 1984

(z) DOD Directive 5100.3, "Support of the Headquarters of Unified, Specified, and subordinate Joint Commands," March 19, 1959 .

(aa) DoD Directive 6010.8-R, "Administration of the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS)," October 24, 1984

(bb) Title 10, Code of Federal Regulations 35.59, "Medical Use of Byproduct Material" current edition

(cc) Title 40, Code of Federal Regulations 262.40 "Standards - Applicable to Generators of Hazardous Waste" current edition

(dd) Joint Federal Travel Regulations, "(JFTR)", current edition

(ee) DoD Directive 5124.3, "Armed Forces Tax Council," December 1, 1988

## DEFINITIONS

The following glossary is comprised of those terms used in this Instruction as well as a number of others, common to the records management field, most likely to be encountered by persons performing those functions at any level in an organization.

1. Access

a. The availability of or the permission to consult records, archives, or manuscripts.

b. The ability and opportunity to obtain security classified or administratively controlled information or records.

2. Accession Number. The control number given to any OSD functional element retiring records to a Federal Records Center. This number consists of the Record Group number, fiscal year in which the number was issued, and a four-digit sequential control number. The accession number is the basic reference for any records shipment and must be used when retrieving papers from any Federal Records Center. Accession numbers are issued and controlled by the Records Management Division. More information is contained in Enclosure 7 to this Instruction.

3. Archival Value. The determination by appraisal that records are worthy of permanent preservation by the Archivist of the United States. See also Historical Value.

4. Audiovisual Files. Files in pictorial or aural form, regardless of format. Included are still photos, graphic arts such as posters and original art, motion pictures, video recordings, audio or sound recordings, and related records.

5. Block. A chronological grouping of records consisting of one or more segments of Cutoff records that belong to the same series and are dealt with as a unit for the purposes of their efficient transfer, especially the transfer of permanent records to the NARA. For example, a transfer of records in 5-year blocks.

6. Case File. A folder or other file unit containing material on a specific action, event, person, place, project, or other subjects. Sometimes referred to as a "project file" or a "transaction file." Also a collection of such folders or other file units. Working Papers pertaining to case files, such as worksheets, questionnaires, rough notes, calculations, are

generally kept for a shorter period of time than the papers that serve to document the project.

7. Central File. The file of several offices or organizational units physically and/or functionally centralized and supervised in one location.

8. Chronological Reading File. See Reading File.

9. Closed File. A file unit or series containing documents on which action has been completed and to which additional documents are not likely to be added.

10. Convenience File. Extra copies of records, personal papers, or publications maintained for ease of access and reference. Sometimes known as "personal file."

11. Copy. A reproduction of the contents of an original document, prepared simultaneously or separately, usually identified by function or by method of creation. Copies identified by function may include action copy, comeback copy, file or record copy information or reference copy, official copy, and tickler copy. See Nonrecord Material and Records.

12. Cross-Reference. A procedure used to show the location of a document that may be filed, because of content, under more than one subject.

13. Current Files Area (CFA). That area where Current Records are physically maintained, usually in a location that provides convenient access for reference and retrieval.

14. Current Records. Records that are necessary for conducting the current business of an office and that must be maintained, therefore, in office space and equipment.

15. Custody. The guardianship of records that in a strict sense includes both physical possession (protective responsibility) and legal title (legal responsibility). For example, OSD records transferred to a Federal Records Center are in the PHYSICAL POSSESSION of that facility but legal title to them remains with the OSD and access may be granted only with the approval of the originating agency; when accessioned by the National Archives, legal title, and physical possession then pass to the Archivist of the United States, who may grant access without reference to the originating agency.

16. Cutoff. Termination of files at specific intervals to permit transfer, retirement, or disposal in periodic (quarterly, semiannual, or annual) blocks. Sometimes called "file break."

17. Discontinuance. The placing of an organization in an inactive or surplus status. When the term is used in this Instruction, it includes inactivation, disbandment, discontinuance or reduction to zero in strength.

18. Disposal. Physical destruction of Temporary Records. See also Disposition.

19. Disposal Authority. The legal authorization for the disposal of records obtained from the Archivist of the United States empowering an agency to transfer Permanent Records to the NARA and to carry out the disposal of Temporary Records. Also called "disposition authority."

20. Disposal Period. The length of time, based on an event or a chronological period, during which a Series is retained before its authorized disposal.

21. Disposition. Actions taken with regard to records following their appraisal by the NARA. No disposition of any Series of records is authorized before its appraisal. Records disposition is any activity with respect to:

a. Disposal of temporary records no longer necessary for the conduct of business by destruction or donation;

b. Transfer of records to Federal Agency storage facilities or records centers;

c. Transfer to the Archives of the United States of records determined to have sufficient historical or other value to warrant continued preservation; or

d. Transfer of records from one Federal Agency to any other Federal Agency.

22. Disposition Instruction. An instruction for the Cutoff, Transfer Retirement or destruction of documents. Specific techniques for using or applying disposition instructions are in Enclosure 7 to this Instruction.

23. Disposition Program. Practices designed to achieve efficient and economical disposition of records. The program involves developing standards, procedures, and techniques for managing the longevity of records. Includes controls over office filing equipment, scheduling records for disposition and administering their storage, documenting agency benefits accruing from the program, and undertaking surveys and audits of disposal



operations.

24. Disposition Schedule. A document governing, on a continuing basis, the mandatory disposition of a record series of an organization or agency. Also known as a "records schedule," "records control schedule," "retention schedule," or "records retention schedule." Enclosure 4 to this Instruction contains the only authorized Disposition Schedule for the OSD. See also General Records Schedule.

25. Disposition Standard. The time period for the Cutoff transfer to a records center, destruction, or transfer to the NARA of a file series.

26. Federal Information Resources Management Regulation (FIRMR). Regulations on information resources management issued by the GSA and applicable to Federal Agencies.

27. Federal Property Management Regulations (FPRM). Regulations formerly issued by the GSA but superseded in part by the FIRMR and the NARA's records management regulations.

28. File. An accumulation of records maintained in an approved physical arrangement. Used primarily in reference to current records in an office. In machine-readable terminology, two or more data records of identical layout treated as a unit. The unit is larger than a data record but smaller than a data system and is sometimes known as a "data set." Referred to collectively as "files."

29. File Inventory. A survey of agency records to gain information needed to develop a disposition schedule. Includes a descriptive listing of each record series of a system together with an indication of where it is located and other pertinent data.

30. Functional File System. This is a system of files arrangement based on the major functions by which the records will be retrieved. With Program Records or mission-related files, these functions mirror the office organization and reflect the nature of the work being done there. The OSD uses a functional file system. More information on this type of system is in Enclosure 5 to this Instruction.

31. Finding Aids. Indexes or other lists, whether manual or automated, that are designed to make it easier to locate relevant files.

32. Frozen Records. Those temporary records that cannot be destroyed on schedule because special circumstances, such as a court order, require a temporary extension of the approved retention period.

33. General Records Schedule (GRS). A schedule issued by the Archivist of the United States governing the disposition of specified recurring series common to several or all agencies of the Federal Government. These series include civilian personnel and payroll records, procurement, budget, travel, electronic, audiovisual and administrative management records. When records described in the GRS are used by any Federal Agency, their disposition is governed thereby. Exceptions may be granted only by the Archivist of the U.S. The GRS DOES NOT apply to an Agency's program records. "Program records" are those peculiar to an Agency's mission or not "common to several or all Agencies of the Federal Government."

34. Historical Value. The usefulness of records for historical research concerning the Agency of origin.

35. Holding Area. Agency space assigned for the temporary storage of active or semiactive records and for records with relatively short retention periods. Also known as a "staging area." The OSD Records Administrator operates a small holding area for records awaiting transfer to the Washington National Records Center.

36. Housekeeping Records. Records of an organization that relate to budget, fiscal, personnel, supply, and similar administrative or support operations normally common to most agencies, as distinguished from records that relate to an Agency's primary functions. See General Records Schedule.

37. Legal Value. The use of records containing evidence of legally enforceable rights or obligations of government and/or private persons.

38. Life Cycle of Records. The concept that records pass through three stages: creation, maintenance and use, and disposition.

39. Micrographics. The technique of producing miniature film images of documents for preservation and storage in compact form.

40. Noncurrent Records. Records that are no longer required in the conduct of current business and therefore can be transferred to a Federal Records Center or destroyed, if authorized by an approved disposition schedule.

41. Nonrecord Material. Material not usually included within the definition of Records, such as extra copies of documents, but only if the sole reason such copies are preserved is for convenience of reference; library and museum material, but only

if such material is made or acquired and preserved solely for reference or exhibition purposes; and stocks of publications. This latter category does not include record sets of publications, posters, and maps that serve as evidence of Agency activities and have value for the information they contain. See Personal Papers.

42. Permanent Records. Records appraised by the Archivist of the United States as having enduring value because they document the organization and functions of the Agency that created or received them and/or because they contain significant information on persons, things, problems, and conditions with which the Agency deals. The Archivist of the U.S. estimates that no more than 5 percent of all records generated by the Federal Government are permanent. In the OSD, they generally fall into the following categories.

a. Policy, Procedural, Organizational, or Reporting Documents.

(1) Formal policy and procedural issuances (obsolete as well as current), such as regulations, orders, circulars, manuals, and other types of directives with related forms, recommendations, endorsements, clearances, and comments.

(2) Organizational charts and directories (obsolete as well as current).

(3) Annual or other periodic narrative and statistical reports on accomplishments at the organizational levels above divisions.

(4) Narrative accounts of an Agency's history.

(5) Publicity and public information material, such as press releases on matters of general interest to taxpayers; photographs and official speeches on changes in OSD policies and programs; charts and posters.

(6) Publications that contribute to an understanding of the organization and the functioning of the OSD Components, exclusive of publications that embody the results of statistical or research activity.

b. Records That Provide Executive Direction to OSD Components.

(1) Such authoritative documents consist of those received by the OSD for comment, clearance, appraisal, evaluation, guidance, or other action, and those drafted, prepared, or issued by the OSD. Included are documents on legislation and executive orders proposed by the OSD or by other

Government Agencies, delegations, and continuing authorities and revocations thereof; interagency agreements; court decisions; internal and external interpretations and rulings; and legal opinions. Also, case, subject, planning, and control files documenting the preparation, issuance, analysis of, reactions to, and compliance with those authoritative documents that affect and define the functions of the OSD Component concerned.

(2) Legislative history files, exclusive of nonrecurring copies of hearings, bills, and statutes.

(3) Agenda and minutes, with supporting papers, of staff meetings at division and higher organizational levels on substantive functions of the OSD or the Department of Defense.

(4) Agenda and minutes, with supporting papers, of those meetings of interagency and extra-Federal Governmental bodies in which OSD participates that relate to substantive matters on OSD or DoD functions.

(5) Reports on special studies, surveys, and inspections of operations, management, and systems with related papers showing their inception, scope, procedures, and results.

(6) Documents on relations with the White House, the Executive Office of the President, and the Congress, that concern the planning, initiation, management, and effectiveness of changes in OSD's programs, including interagency programs in which the OSD participates.

(7) Budget statements (estimates and justifications) prepared at the OSD level, budget digests, budget briefing books, and comprehensive program and financial plans developed under the planning, programming, and budgeting system and earlier or later equivalents, such as zero-base budgeting.

(8) Annual activity reports, and any special nonrecurring reports, from field offices that are required for executive directions.

(9) Interagency agreements and delegations of continuing authority to and from other agencies that significantly affect the substantive functions of the OSD.

(10) Case files on approved plans, policies, programs (including internal management improvement, records management, and staff development programs), projects, and procedures.

(11) Litigant case files, the results of which had a significant impact on DoD policy or procedures.

c. Records Documenting Major Functions of OSD Components

(1) Documentation of the development, supervision, and evaluation of each of the major substantive functions.

(2) Formal legal opinions on major functions.

(3) Case files of precedential significance on policy formulation.

(4) Summary statistical data on each major function.

(5) Pertinent portions of office files of directorates or higher organizational units that were responsible for carrying out major substantive functions of the OSD or Department of Defense, or both.

(6) Pertinent portions of office records, if the substantive functions were administered from the field.

43. Personal Papers. Papers of a private or nonofficial character that pertain only to an individual's personal affairs that are kept in the office of a Federal official and clearly designated by that official as nonofficial. Personal papers are required to be filed separately from official records of the office. See enclosure 10 to this Instruction for additional guidance.

44. Program Records. Records created or received and maintained by an Agency in the conduct of the substantive (as opposed to administrative) or Housekeeping functions or the mission for which it is responsible. Sometimes called "operational records."

45. Reading File. A file containing copies of documents, usually outgoing correspondence, arranged in chronological order. Sometimes referred to as a "chron file," or "chronological reading file."

46. Record Copy. The official, or file, or coordination copy created by an action office, complete with coordinations, enclosures, or related background papers that form a complete file or history of that action.

47. Record Group. A body of organizationally related records established by the NARA to keep track of Agency records during and after the scheduling process, including those transferred to Federal records centers and/or the National Archives. The record group for the OSD is 330; other elements of the Department of Defense are assigned their own record group numbers.

48. Records. All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. See also Nonrecord Material.

49. Records Control Schedule. A listing prepared by each OSD office identifying the records series, filing arrangement, and ultimate disposition of all files maintained. See enclosure 4 to this Instruction for more detail.

50. Records Center. A facility, sometimes specially designed and constructed, for the low-cost, efficient storage and furnishing of reference service on semicurrent records pending their ultimate disposition. Generally, this term refers to the Federal records centers maintained by the National Archives and Records Administration, but provisions exist, providing stringent criteria are met, to permit individual Federal agencies to create their own records centers or to contract this service out to civilian enterprises.

51. Records Center Container. A corrugated cardboard box designed to hold one cubic foot of records, either legal or letter size, and used chiefly in records centers. These are the only containers authorized for shipment of OSD records to a Federal Records Center. See enclosure 8 to this Instruction for more details.

52. Records Management. That area of general administrative management concerned with achieving economy and efficiency in the creation, use and maintenance, and disposition of records.

53. Records Manager. The person responsible for or engaged in a records management program. Sometimes called records officer or records administrator.

54. Reference Copies. A collection of extra copies of official records on a specific action used for ready reference.

55. Retention Period. The time period for which a specific series of records is to be kept. Also called "retention standard."

56. Retirement. The movement of inactive files having a permanent or long-term value to a Federal Records Center for storage, servicing, and ultimate disposition. See Transfer.

57. Screening. The examination of records to determine the presence of extraneous material (extra copies, classified cover sheets, mail control forms, envelopes, routing slips (except those with remarks of significant value), blank forms, etc.) before filing and before Transfer or Retirement.

58. Series. File units or documents arranged in accordance with an approved filing system. Also called "record series."

59. Technical Reference Files. Extra copies of articles, periodicals, reports, studies, vendor catalogs, and similar materials that are needed for reference and information but are properly a part of the office's records.

60. Temporary Records. Records designated for retention for a specified period of time and that are then authorized to be destroyed in the current files area. Temporary records are most commonly found among Housekeeping Records and administrative files.

61. Transfer. The movement of records out of office space and equipment to a depository but not necessarily a Federal Records Center. See Retirement.

62. Unscheduled Records. Records for which no ultimate disposition has been determined.

63. Vital Records. Documents essential to the continued functioning or reconstitution of an organization during and after an emergency and also those documents essential to protecting the rights and interests of that organization and the individuals directly affected by its activities. Sometimes called "vital files" or "essential records." These records include both emergency-operating and right-and-interests records that are duplicates or extra copies of original records stored off-site.

64. Washington National Records Center. The official off-site repository for all OSD records. The WNRC is located at Suitland, MD. Other centers may be designated by OSD Field Activities not located in the Washington Metropolitan Area, but not without the concurrence of the particular Federal Records Center concerned. Such agreements eventually must be reflected in that Agency's records disposition schedule.

65. Working Papers. Documents such as rough notes, calculations, or drafts assembled or created and used in the preparation or analysis of other documents. An accumulation of working papers may also include Nonrecord Material.

RECORDS DISPOSITION SCHEDULES

100	Office Administrative Files
200	General Administration
300	Comptroller
400	General Counsel
500	Intelligence
600	Reserve Affairs
700	Public Affairs
800	International Security Affairs
900	Health Affairs
1000	Legislative Affairs
1100	Command, Control, and Communications
1200	Acquisition
1300	Research and Engineering
1400	Planning and Evaluation
1500	Atomic Energy
1600	Machine Readable and Word Processing Files
1700	Court of Military Appeals
1800	Personnel and Readiness
1900	DoD Dependent Schools
2000	Operational Test and Evaluation
2100	Special Operations and Low-Intensity Conflict
2200	Drug Enforcement Policy and Support
2300	On-Site Inspection Agency

Among the above series these numbers are reserved:

202-03	1001
202-17	1201-01
215	1301-01
301	1401
302	1501
303-08	1503-01
303-09	1503-03
410	1503-05
501	1801-01
701-01	1901
801	1902-08
901	1902-10

Pagination for succeeding pages of Enclosure 4 is based upon the record series prefix. This arrangement allows easy replacement of changed pages and eliminates users having to renumber later pages.



OFFICE ADMINISTRATIVE FILES

**100 Office Administrative Files** (NC1-330-77-4) The files described in this subgroup relate to the performance of routine administrative operations and in obtaining administrative services from the offices and staff sections responsible for providing them.

**Disposition:** Transfer all permanent records of this series to National Archives when 30 years old, unless otherwise indicated or needed for agency purposes.

**101 Office General Information**

**101-01 Office General Management Files.** Documents relating to the internal management or general administration of an office. Included are:

Documents on internal office procedures, hours of duty, and individual duties that do not have continuing applicability.

Documents on office participation in charitable affairs, such as blood donations and contributions to philanthropic or charitable associations.

Documents on tests of civil defense, fire, or comparable emergency evacuation procedures.

Documents on security, and documents on the security classification system in general.

Documents on safety within the office, such as minutes of safety meetings, notification of safe and unsafe practices, and comparable documents.

Documents on the office's involvement in forms, publications, records, and reports management, such as records and forms surveys and inventory reports (but not papers relating to the initiation of specific forms, publications, and reports that pertain to the performance of the office's mission or functions).

Documents on the general use of ADP (but not documents concerned with the employment of ADP for performance of the office's mission or functions).

Documents on the general routine use of ADP (but not documents concerned with the employment of ADP for performing specific mission, functions, or process thereof).

Disposition: Destroy after 1 year or on discontinuance, whichever is first.

**101-02 Office Inspection and Survey Files.** Documents on inspecting and surveying internal office administrative procedures. Included are: Extracts of inspection reports, security inspection reports, safety inspection reports, or comparable communications that pertain only to the performance of housekeeping operations within the office, including communications about impending inspections. Excluded are management improvement reports submitted to the Office of Management and Budget (OMB) which are of a permanent nature.

Management survey reports and similar documents that are applicable to internal office procedures.

Disposition: Destroy after the next comparable survey or inspection.

**101-03 Office Instruction Files.** Documents on the preparation and issuance of office memorandums or comparable continuing instructions applicable only to internal administrative practices within the preparing office. Included are copies of the instructions and communications relating to them. (This file number is not applicable to instructions concerning the performance of mission functions of the office even though they may be issued as standing operating procedures or in comparable format.)

Disposition: Destroy on supersession or obsolescence.

**101-04 Office Organization Files.** Documents on the organization and function of an office, such as copies of documents that are duplicated in the office charged with determining the organization and functions of the agency. Included are copies of functional charts and functional statements; copies of documents relating to office staffing and personnel strength, such as extracts from manpower surveys and manpower authorization vouchers; and similar papers. Also included are documents reflecting minor changes in the organization of the office that are made by the office chief and that do not require evaluation and approval by the Secretary of Defense.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**101-05 Office Record Locator Files.** Documents used to locate files in the current files area, or files that have been transferred to the records holding area or retired to a records center. Included are lists of selected file numbers, copies of file plans not issued as directives, and retained copies of

records shipment lists. (Card indexes to individual mission record groups should not be identified as locator files but as reference paper files to the mission records. Lists of selected file numbers may be filed loosely in front of organized files.)

Disposition: Destroy file plans and lists of file numbers when superseded. Destroy shipment lists when records reflected thereon have been destroyed; or destroy on discontinuance, whichever is first.

**101-06 Record Access Files.** Documents received or prepared by an office that show name, grade, and other identification of individuals authorized access to official records, particularly classified material. Included are requests for access and approvals thereof, roster of individuals authorized access and similar documents.

Disposition: Destroy on supersession or obsolescence of the authorization document or on transfer, separation, or relief of the individual concerned.

**101-07 Security Container Record Files.** Forms placed on safes, cabinets, or vaults containing security classified documents and used for providing a record of entry into the containers.

Disposition: Destroy the day following the last entry on the form, except in the case of forms involved in an investigation, which will be retained until completion of the investigation.

**101-08 Security Container Information Files.** Up-to-date records of all office safe and padlock combinations, together with other information necessary to identify and locate the safes or containers and the individuals having knowledge of the combination.

Disposition: Destroy when 2 years old (GRS 18, Item 7) (reference (p)).

**101-09 Office Classified Document Receipt Files.** Receipts for classified documents issued or transferred. If classified document receipts are used concurrently as a register and control file, they will be identified and disposed of under file number 101-12.

Disposition: Destroy when 2 years old (GRS 18, Item 2) (reference (p)).

**101-10 Office Classified Register or Control Files.**

Documents reflecting the identity and location of classified papers for which the office is accountable.

Disposition: Destroy when 2 years old (GRS 18, Item 4) (reference (p)).

**101-11 Temporary Internal Receipt Files.** Documents used in making temporary loan of classified documents within the office as distinguished from transferring or issuing classified documents in an office or headquarters. Such loans are normally of short duration and borrowed documents are often returned within the same workday.

Disposition: Destroy when 2 years old (GRS 18, Item 2) (reference (p)).

**101-12 Office Nonregistered Classified Document Destruction Certificate Files.** Forms or other documents accumulated by an office which reflect the destruction of classified documents.

Disposition: Destroy when 2 years old (GRS 18, Item 3) (reference (p)).

**101-13 Office Mail Control Files.** Documents that relate to the control of incoming and outgoing mail by offices other than official mail rooms and postal activities. Included are routing and suspense slips, records of messenger trips, and similar documents. In rare cases, they may also include copies of receipts for accountable mail; e.g., registered, certified, and numbered insured mail.

Disposition: Accountable mail receipts: Destroy after 2 years. Other documents: Destroy after 3 months. See Series 102-11 for additional information on mail room operations.

**101-14 Office Financial Files.** Documents on the participation of offices in matters concerning the expenditure of funds incidental to the performance of the mission of the office, such as itineraries and cost estimates for travel and notifications to budget offices of funds required for travel; requests for long distance telephone funds, notifications from budget offices of telephone funds that are available, and reports of long-distance telephone calls; receipts for pay checks and other documents relating to the distribution of checks to individual employees; receipts for savings bonds and other documents on distribution of savings bonds directly to individual employees; and comparable papers.

Disposition: Destroy after 1 year or on discontinuance, whichever is first.

**101-15 Office Service and Supply Files.** Documents on ordinary supplies and equipment used by an office; office space and utilities; communications, transportation, custodial or other services required by an office; and to the general maintenance of an office. Included are: Requests to supply activities for supplies, receipts for supplies and equipment, and similar papers on office supply matters. Requests and other documents on issue of keys and/or locks to an office. Requests for publications and blank forms, and other papers on supply and distribution of publications to an office. Documents relating to local transportation required by, or available to, an office. Requests for office space and similar documents on office space. Requests for installation of telephones, floor plans showing location of office telephone extensions, requests for change to telephone directories, and similar papers. Documents on the modification, repair, or change of office heating, lighting ventilation, cooling, electrical, and plumbing systems. Documents on painting, partitioning, repairing, or other aspects of maintaining the office physical structure. Documents on other logistical type services required by, or provided to, an office.

**Disposition:** Destroy 1 year after completion of action.

**101-16 Office Property Record Files.** Cards, lists, hand receipts, or comparable documents showing accountable property charged to the office.

**Disposition:** Destroy when superseded, obsolete, or when the property is turned in, whichever is first.

**101-17 Office Equipment Approval and Utilization Files.** Documents on approval and use of office property. Included are documents reflecting approval of such items of equipment as office copiers; documents reflecting individual and cumulative repairs, adjustments, and usage of items of office equipment, and similar or related documents.

**Disposition:** Destroy when superseded, obsolete, or upon disposal of the related item of equipment, whichever is first.

**101-18 Classified Matter Inventory Reporting Files.** Documents used to report the results of physical inventories conducted to assure all classified matter is accounted for.

**Disposition:** Destroy when 2 years old (GRS 18, Item 4.) (reference (p)). (Also see Series 209 for more detail.)

**101-19 Security Classification Regrading Files.** Documents authorizing the regrading of security classified documents.

Disposition: Retire to the WNRC 2 years after final action. Destroy when 5 years old (see also Series 209).

**101-20 Office Management System Files.** Documents related to the use and approval of a miniaturization system, a word processing system, or similar system.

Disposition: Destroy when system is no longer in effect.

**101-21 Office Space Assignment Records Files.** Documents reflecting administrative space assigned to an office. Included are space assignment records and similar or related documents.

Disposition: Destroy when superseded or obsolete.

**101-22 Publications Request Files.** Requests for publications, photos, and general information including applications or form requests with copies of acknowledgments and replies.

Disposition: Destroy requests, replies, and related information 3 months after annual file cutoff.

## **102 Office Administrative Files**

**102-01 Reference Publication Files.** Copies of publications issued by other Government agencies, and nongovernmental organizations maintained for general reference with an office. Not to be confused with documents described under series 103-08.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference purposes, except that accountable publications shall be returned to supply channels.

**102-02 Technical Material Reference Files.** Copies of technical materials, such as motion pictures, sound recordings, still photographs, transparencies, charts, and maps retained for reference purposes only.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, except that accountable publications shall be returned to supply channels.

**102-03 Reading Files.** Copies of outgoing communications, arranged chronologically, and maintained for periodic review by staff members. This does not apply to chronological reading files of Top Officials (see Section 102-16).

Disposition: Destroy when no longer needed for reference purposes.

**102-04 Office Message Reference Files.** Copies of incoming and outgoing messages maintained in numerically or chronological order for reference purposes in offices other than the Cables Division, WHS, and official record copies of messages that must be filed in the appropriate mission files of the office.

**Disposition:** Destroy after 1 year. Earlier destruction is authorized.

**102-05 Policy and Precedent Files.** Extra copies of documents establishing policy or precedent for future and continuing action. Normally, policy and precedent files are maintained at the operating level, and consist of copies of standing operating procedures, statements of policy of procedure, examples of typical cases, and other documents duplicated in functional files.

**Disposition:** Destroy individual documents when superseded or obsolete. Destroy entire file on discontinuance of organizational elements to which it relates.

**102-06 Publications Files.** Publications, manuscripts and associated papers on publications issued by the OSD.

**Disposition:** a. Retire record copies to the WNRC 2 years after file cutoff. Transfer to the National Archives after 25 years. b. Destroy duplicate copies 1 year after issuance of the publication. c. Case files. Destroy when no longer needed for reference.

**102-07 Nonpolicy Administration Files.** Correspondence, transmittal memoranda, instructions, and other related material of a nonpolicy nature on internal administration and operations.

**Disposition:** Cut off upon supersession or obsolescence; destroy 3 years after cutoff.

**102-08 Messenger Service Records Files.** Messenger service records including daily logs, assignment records and instructions, dispatch records, delivery receipts, exclusive of receipts for Secret and Top Secret classified Defense information, route sheets, and related and similar documents.

**Disposition:** Cut off annually; destroy 2 months after files cutoff.

**102-09 Mailing Lists Files.** Mailing lists and related material.

1. Correspondence, request forms, and other records on changes in mailing lists.

Disposition: Destroy after appropriate revision of mailing list or after 3 months, whichever is sooner (GRS 13, Item 4a) (reference (p)).

2. Card list.

Disposition: Destroy individual cards when cancelled or revised (GRS 13, Item 4b) (reference (p)).

3. Address plates, stencils, or tapes.

Disposition: Destroy or correct individual address plate, stencil, or tape when cancelled or revised.

#### **102-10 Postal Records Files**

1. Records on the receipt and dispatch of registered mail pouches.

Disposition: Destroy when 1 year old (GRS 12, item 5a) (reference (p)).

2. Applications for postal registration and certificates of declared value of matter subject to postal surcharge.

Disposition: Destroy when 1 year old (GRS 12, Item 5b) (reference (p)).

3. Receipts for incoming and out-going registered and insured mail.

Disposition: Destroy when 1 year old (GRS 12, Item 5a) (reference (p)).

4. Return receipts for registered, insured, and special delivery mail.

Disposition: Destroy when 1 year old (GRS 12, Item 5a) (reference (p)).

5. Reports of loss, rifling, delay, wrong delivery, or other improper treatment of mail.

Disposition: Destroy when 1 year old (GRS 12, Item 5c) (reference (p)). Except when Secret or TS information is involved, then transfer to related investigation case folder (see Series 210-01.)



**102-11 Mail Control Files.** Mail Control Records and Supporting papers.

1. Records consisting of receipts and routing information on incoming and outgoing mail when used as indices to correspondence files.

Disposition: Destroy when 1 year old (GRS 12, Item 6a) (reference (p)).

2. Statistical reports used on outgoing mail (air mail, special delivery, registered, foreign and parcel post over 4 lbs.).

Disposition: Destroy when 6 months old (GRS 12, Item 6b) (reference (p)).

3. Requisitions for postage or stamps, exclusive of copies used as supporting documents to payment voucher.

Disposition: Destroy when 6 months old (GRS 12, Item 6c) (reference (p)).

4. Production reports on mail handling and work performed with compilations derived therefrom.

Disposition: Destroy when 1 year old (GRS 12, Item 6e) (reference (p)).

5. Records relating to remittances and other valuable enclosures received in incoming mail by mailroom.

Disposition: Destroy when 1 year old (GRS 12, Item 6f) (reference (p)).

6. Records and receipts for mail and packages received.

Disposition: Destroy when 6 months old (GRS 12, Item 6g) (reference (p)).

**102-12 Electrical Messages File.** Records of electronically transmitted messages.

1. Incoming and outgoing electrically transmitted messages, other than those relating to routine matters of internal administration and operation.

Disposition: a. Permanent. Retire copies of messages and related papers 6 months after file cut off to the WNRC. Transfer

to the National Archives when 30 years old. b. Destroy all other copies 6 months after transmission or receipt.

2. Incoming and outgoing electrically transmitted messages relating to routine matters of internal administration and operation.

Disposition: a. Cut off annually; dispose of record copies 2 years after cutoff. b. Destroy all other copies 6 months after transmission.

3. Operating records of message units, including logs, registers, correspondence, performance reports and related records, exclusive of Top Secret and Secret classified Defense information receipts and destruction reports.

Disposition: Cut off annually. Destroy 6 months after cut off.

**102-13 Program Progress Files.** Records on program progress and accomplishment, including related planning records and other backup case records. These files contain all significant programs, the program objectives, planned milestones, progress reports, and related documents.

Disposition: a. Case files are permanent. Cut off when no longer needed for current business, retire copies 2 years after cut off to the WNRC. Transfer to the National Archives when 30 years old. b. Destroy duplicate copies and nonrecord materials 6 months after cutoff, unless part of a case file.

**102-14 Implementation Files.** Records on the implementation of procedures, systems, methods and standards, and associated matters that result in operational and administration changes.

Disposition: a. Cut off case files when no longer needed for current business, hold in the CFA 3 years and retire to the WNRC. Destroy when 30 years old. b. Destroy duplicate copies and nonrecord material 6 months after file cutoff, unless part of a case file.

**102-15 Informational Records Files.** Informational records such as administrative memoranda, courtesy copies of correspondence and publications circulated for informational purposes only, including work sheets and papers, drafts, stenographic notebooks, tape or wire recordings, feeder reports that are transcribed to basic data reports temporary or interim material, and all other data used only as notes for preparing record material, exclusive of concurrences of coordination copies, or copies associated with case material.

Disposition: Destroy these materials 90 days after serving the purpose for which they are collected.

**102-16 Chronological Reading Files.** Outgoing correspondence arranged in chronological order prepared for office routing to assist in dissemination of information.

Disposition: Destroy 1 year after monthly, quarterly, or semiannual cutoff, except those maintained in the offices of the Secretary of Defense, immediate offices of the heads of each OSD Component, and the heads of those organizations under OSD for administrative support, which are permanent. Retire to the WNRC 3 years after cutoff and transfer to the National Archives when 40 years old. See NC1-330-77-4, which is available in the Records Management Division, for authorization to convert these files to microform.

**102-17 White House Correspondence Files.**

1. White House Correspondence of a routine non-policy nature with no long term value.

Disposition: Cut off every 6 months. Retire to the WNRC when 1 year old; destroy when 7 years old.

2. Correspondence relating to substantive policy-related matters.

Disposition: Cut off every 6 months; retire to the WNRC 2 years after cut off. Transfer to the National Archives when 25 years old. NB: The Freedom of Information Act does not apply to the President, the White House Office, and the President's principal advisors. Mail of this nature referred to the OSD is personal mail and should be maintained separately from regular mail, as a courtesy for the White House, and it shall be returned thereto upon request. It may be transferred to the National Archives only if approved by the White House.

**102-18 Congressional Correspondence (NC1-330-79-1).**

1. Correspondence of a routine nature with no historical value. Congressional inquiries originated by Armed Forces personnel, the public, or members of Congress, that are forwarded to the OSD for reply. Examples include letters regarding the Office of Civilian Health and Medical Program of the Uniformed Services (OCHAMPUS) benefits for dependents, rejections for military service, requests for information about commissary privileges for retirees and retirement benefit programs, physician pay bonus program eligibility, and public inquiries as

to how and where military equipment can be purchased, discrimination complaints, and public inquiries on Defense spending.

Disposition: Retire to the WNRC when 1 year old; destroy when 7 years old.

2. Correspondence of a substantial nature with historical significance. Congressional inquiries originated by Armed Forces personnel, the public, or members of Congress, that are forwarded to the OSD for reply. They are primarily originated by Congress and pertain to substantial policy issues such as plans, objectives, or responsibilities. Examples include letters between Congress and the Secretary of Defense outlining the appropriations history of weapons projects, international programs, DoD ADP programs, international incidents such as the seizure of vessels or aircraft shootdowns, intelligence operations, war reserves, Defense contract awards, and important investigations.

Disposition: Permanent. Retire to the WNRC 1 year after close of the case; transfer to the National Archives when 20 years old.

#### **102-19 Special Studies.** (NC1-330-80-11)

1. Reports and correspondence on formal inquiries or investigations for other than personnel or security reasons. Documents accumulated by special task forces or committees appointed for these tasks that do not fall in other identifiable functional areas.

Disposition: Permanent. Reports of the task groups or committee, retire to the WNRC when no longer needed for reference; transfer to the National Archives when 30 years old.

2. Reference and other non-record material accumulated in the study.

Disposition: Destroy when no longer needed for reference.

**103 Common Mission Files.** General policy and administrative files relating directly to the mission of an OSD functional element that are distinct from office administrative & management files. They are to be used only as needed. (NC1-330-92-1, except where otherwise noted.)

**103-01 Policy Files.** (NC1-300-93-1) These files accumulate in the offices of the Secretary and Deputy Secretary of Defense, immediate offices of the Under and Assistant Secretaries of

Defense, or any element of any OSD Component involved in making, promulgating, or analyzing policy relating to a Component's mission. They are not to be confused with Policy and Precedent (102-05), Publications (102-06), or Instruction (103-02) files and include the following:

1. Issuances such as memorandums and letters or other correspondence which announce, modify or change, rescind, or explain any process, procedure, or function.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

2. Analyses, studies, and substantive correspondence and memos that evaluate or assist in the evaluation of a process, procedure, or function.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

3. Routine background materials accumulated in the course of formulating or analyzing policy. They may consist of reference papers, extra copies of reports or other documents, and correspondence of a transitory or informational nature only. (File substantive background papers under 103-01.2.)

Disposition: Destroy when no longer needed for reference.

**103-02 Instruction Files.** Documents on preparing, coordinating, issuing, and interpreting directives, regulatory instructions and comparable instructional material. These files accumulate in offices responsible for preparation and interpretation of instructions and include coordinating actions, studies, interpretations, and published record copies of instructions, such as regulations, supplements, memoranda, circulars, pamphlets, and bulletins; Standard Operating Procedures (SOPs) or similar issuances; messages used for expeditious interim changes to instructions; technical newsletters or comparable media used to forward semiofficial and authoritative instructions; and official training materials.

Disposition: Permanent. Cut off annually or on supersession or obsolescence, as reference needs require. Retire to the WNRC 5 years after cut off. See Section 213 for master copy of directives.

**103-03 Administrative Files.** Documents on the overall or general routine administration of a Component's activities, but exclusive of official personnel files pertaining to individuals

described in this AI.

These files generally include the following:

1. Routine comments on regulations, directives, or other publications prepared by another office with primary responsibility. If comments result in additional action affecting the mission or functions of the office, documents should be filed with the appropriate mission function files.

2. Evaluations of suggestions that do not result in issuing an instruction or establishing a project.

3. Program and budget documents, management improvement reports, cost reduction reports, and comparable management reports prepared to submit data to offices responsible for these management functions.

4. Extracts of reports of inspections, surveys, or audits that pertain to the operation of the mission or functions.

5. Comments on or contributions to news releases or other media furnished to publicize and promote the mission or functions.

Disposition: Destroy after 5 years or discontinuance, whichever is first.

**103-04 Agreement Files.** Documents on agreements between elements of the OSD, between the OSD and other Military Services or Federal Agencies, or between the OSD and other non-Federal organizations or agencies; but not with foreign countries. These agreements are negotiated to provide for continued understanding between recognized organizations in DoD or within the OSD about personnel and training. Included are agreements, agreement checklists, amendments, review comments, related correspondence, and similar documents.

Disposition: Office requesting support and office providing support. Agreements involving transfer of personnel spaces and training will be destroyed 6 years after supersession, cancellation, or termination of the agreement. Reviewing offices: Destroy 1 year after supersession, cancellation, or termination of the agreement. Earlier destruction is authorized.

**103-05 Orientation and Briefing Files.** Documents used in orientations and briefings given to visitors and newly assigned individuals about the mission, functions, and physical layout of an office. Included are photographs, transparencies or vugraphs, copies of specially prepared handouts, and related or similar documents.

Disposition: Destroy on supersession or obsolescence.

**103-06 Committee Files.** Documents on establishing, operating, and dissolving committees that consider, advise, take action, and report on specifically assigned functions. They include joint, interdepartmental, and international committees in which OSD participates; as well as committees within principal components of the Department of Defense. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; directives establishing, changing, continuing, or dissolving the committee; documents nominating, approving, appointing, and relieving committee members; notices, agenda, minutes, and reports of committee meetings; and related documents. (These files pertain only to the sponsor or secretariat. For other committee records, see those covered under 201-01 or -11 in this Instruction or GRS 16, Item 8) (reference (p)).

Disposition: a. Office of committee chairman or secretariat, whichever is designated office of record, and offices of members of international committees in which a foreign government is office of record, permanent. Cut off when no longer needed for current operations. Retire to the WNRC 5 years after cutoff or when the committee is abolished. b. Offices of other committee members, destroy when no longer needed for current operations.

**103-07 Staff Visit Files.** Documents on scheduled or special visits (but not inspections, surveys, or audits) for performing staff or technical supervision or for conducting studies. This description is not applicable to visits made in connection with a specific process or case that should be filed with documentation of the case or process. Included are requests for permission to visit, reports of visit, recommendations, and other directly related documents.

Disposition: Destroy when 5 years old, except files on recurring staff visits will be destroyed on completion of the next visit.

**103-08 Reference Paper Files.** Documents used to facilitate, control, or supervise the performance of a specific function, process, or action as distinguished from those official records necessary for documenting performance of a function, process, or action they are used with. Reference paper files consist of the following types of documents:

1. Notes, drafts, feeder reports, news clippings, similar working papers, and other materials accumulated for preparation

of a communication, a study, an investigation, a survey, an inspection, or other action. This description does not include official and quasi-official recommendations, coordinating actions, and other documents that contribute to or result from preparation of the communication or other record.

Disposition: Cut off on completion of the communication, study, survey report, or other action. Destroy in blocks after an additional 3 months, 6 months, or 1 year. Earlier destruction is authorized.

2. Cards, listings, indexes, and similar documents used for facilitating and controlling work.

Disposition: Destroy when no longer needed to facilitate or control work.

3. Copies of technical documents, intelligence documents, emergency plans, mobilization plans, and similar reproduced materials that do not fall within the description for reference publication files.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

4. Documents received for general information purposes that require no action and are not required for documentation of specific functions.

Disposition: Destroy after 1 year. Earlier destruction is authorized.

5. Extra copies of documents maintained by action officers that reflect actions taken by the action officer. Such files should not be established unless absolutely necessary.

Disposition: Destroy after 1 year. Earlier destruction is authorized.

6. Copies of documents accumulated by supervisory offices, such as chiefs of directorates, divisions, branches, or separate offices. These documents duplicate the record copy filed elsewhere in lower level offices of the same organizational element that are responsible for performing the action, process, or function. Such files should be established only when necessary, and not in offices of the same organizational element.

Disposition: Destroy after 1 year. However, documents in the active file that require additional action or relate to reopened cases should be brought forward for filing in the current file. Earlier destruction is authorized.



**103-09 Official Visits Files.** (NC1-330-93-6) These files pertain to both foreign and domestic visitors but not consultants, contractors, or the officials of other Government agencies visiting in connection with special projects or other mission-related matters. They may consist of letters, memorandums or other correspondence; schedules or itineraries; lists of points of contact; and information on clearances and liaison activities required to obtain official approval for visits. Also included may be duplicate copies of travel orders, papers accumulated in the process of arranging billeting, transportation, messing and other purely logistical arrangements to support visitors, and documents relating to the selection and activities of escort officers.

**Disposition:** Cut off after completion of visit, hold in the current files for 5 years and destroy. Earlier destruction is authorized if no longer needed for reference purposes.

**103-10 GAO/IG Audit Report Files.** (NC1-330-93-6) These are copies of GAO/IG audit reports and other correspondence used to track the processing of inspection activities in connection with ongoing programs. Not to be confused with series 101-02 Office Inspection and Survey Files. This provides a central, discrete file of these reports for use by action offices.

**Disposition:** a. Action copies. Cut off and retire to the WNRC when no longer needed for oversight or action; destroy after 15 years. b. Information copies. Destroy when no longer needed for reference purposes.

**103-11 Legislative Branch Relations Files.** (NC1-330-93-6) These files are used to maintain material pertaining to the preparation and submission of reports to and testimony and hearings before Congress as well as background papers containing comments on proposed legislation affecting programs. They are not to be confused with papers maintained under series 102-18, Congressional Correspondence, or series 1000, Office of the Assistant Secretary of Defense (Legislative Affairs).

**Disposition:** Cut off upon presentation or submission; destroy when 5 years old. Earlier destruction is authorized when no longer required for reference purposes.

**200 General Office Administration and Personnel Management Files** (NC1-330-77-4). These files contain the documents necessary to perform the administrative functions of the OSD. They are generally associated with the Director of Administration and Management, Office of the Secretary of Defense or the Director, Washington Headquarters Services.

Transfer all permanent records of this series to the National Archives when 30 years old unless otherwise indicated or needed for Agency purpose.

**201 Organization Planning Files.** These files relate to the establishment of organizations and their functional relationships.

**201-01 Organization Planning Files.** Documents on the establishment of and changes in organizational functions and relationships of activities and agencies, when such action affects Department of Defense. Included are reports of working groups, minutes of committee meetings and staff conferences; documents on overall functions and missions, copies of organizations and functions plans, manuals and charts; copies of published Directives implementing establishment or change; and related or similar documents.

**Disposition:** Permanent. Cut off annually except that plans, charts, and manuals or portions thereof will not be cut off until superseded or rescinded. Hold 2 years, retire to the WNRC.

**201-02 Organizational Structure.** Documents, charts, publications, and backup on the OSD organizational structure.

**Disposition:** Permanent. Retire to the WNRC 5 years after being superseded. Transfer to the National Archives when 25 years old.

**201-03 Organization Activation and Status Change Files.** Documents on constituting, reconstituting, organizing, converting, consolidating, assigning, locating, and affiliating offices or agencies of the OSD.

**Disposition:** Permanent. Cut off annually or on discontinuance or related offices as applicable; hold 1 year in current files (CFA), then retire to the WNRC. Included are requests for publications, implementing instructions, copies of affiliation agreements, coordination actions, and similar or related documents.

**201-04 Management Practices.** Papers, charts, diagrams, policy on management practices; theory techniques, case studies, and the like to develop and improve management practices.

**Disposition:** Permanent. Cut off annually, hold 3 years in CFA, and retire to the WNRC.

**201-05 Management Survey Case Files.** Documents on the systematic formal review of organizational structure or operational procedures and accumulated in the office conducting the survey or the office sponsoring a contract for survey services. Individual studies and surveys may range in scope from comprehensive review of organization and all operating procedures to a study of one particular procedure, process, or method of a particular phase of management. Included are documents reflecting request or authorization to conduct the survey, the finished survey report, and actions taken as a direct result of the survey.

**Disposition:** a. Comprehensive surveys. Office conducting the survey or office sponsoring the contract: Permanent. Retire to the WNRC 3 years after supersession. b. Others: Retire to the WNRC on completion of project. Destroy when 20 years old. c. Office surveyed: Destroy on completion of next comparable survey, or when no longer required for reference.

**201-06 Management Survey Background Files.** Documents used in the collection of data for or during a management survey and accumulated in offices conducting or participation in the survey. Included are notes, statistical data, copies of standing operating procedures, organizational charts, functional charts, personnel data, and similar material collected for fact finding or backup purposes and documents reflecting preliminary arrangements incidental to specific surveys.

**Disposition:** Destroy when no longer required for reference.

**201-07 Management Improvement Files.** (NC1-330-86-3)

1. Management Improvement Project Files. Documents on projects that result in initiation of changes in the manner or method of planning, directing, controlling, or doing work that results in increased effectiveness, efficiency, and economy. Included are studies, charts, coordination papers, recommendations, statistical data, and comparable or similar documents.

**Disposition:** Cut off on completion of project. Retire to the WNRC. Destroy 4 years after cut off.

2. Internal Management Control Program. Documents on the administration and control of the Internal Management Control

(IMC) Program in the OSD.

**Disposition:** a. Lists of assessable units, management evaluation plans. Destroy when superseded. b. Vulnerability assessments. Cutoff (COFF) at end of Internal Management Control (IMC) cycle (the current IMC cycle is 2 years), destroy after 4 years. c. Internal control reviews, semi-annual reports, annual reports. COFF when final corrective action completed. DEST 4 years thereafter. d. Annual Statements of Assurance submitted to the President and the Congress by OC, DoD Management Systems Director of Management Improvement (MS-DMI), including backup materials. Hold until final corrective action taken; retire to the WNRC; transfer to the National Archives 20 years thereafter.

**201-08 Management Improvement Project Background Files.** Documents used as background material in developing and completing management improvement projects. Included are analyses, notes, drafts, interim reports, and data used but not included in the official project file.

**Disposition:** Destroy 3 years after completion of related project or on discontinuance, whichever is first.

**201-09 Work Simplification Proposal Files.** Documents on the analysis of specific work procedures to simplify and improve them. Included are proposals for improvement, work distribution charts, flow process charts, work counts, motion economy studies, layout studies, actions taken on proposals, and similar documents.

**Disposition:** Cut off when final action has been taken on proposal. Retire to the WNRC. Destroy 25 years after cut off.

**201-10 Committee Management Files.** Documents used in exercising control over the establishment, use, and dissolution of committees. Included are proposals, approvals, and disapprovals to establish, continue or dissolve committees; charters, terms of reference, and agreements; copies of directives authorizing the establishment of committees and comments on them; documents used to nominate, approve, appoint, and relieve members. Minutes, final reports, and related papers. Office of committee management officer.

**Disposition:** Permanent. Cut off on disapproval or dissolution of the committee. Retire to the WNRC.

**201-11 Advisory Committee Activity Reporting Files.** Documents reflecting name, date established or approved for continuation, function, names and affiliations of members, dates

of meetings held, and similar data on each advisory committee. Included are feeder reports, DoD-wide consolidations or summaries, and papers directly related to them.

Disposition: a. Office requiring the report: DoD-wide summaries or consolidations: Permanent. Retire to the WNRC when 5 years old. b. Feeder Reports: Destroy when 2 years old.

**201-12 Federal and State Relations Files.** Documents on Federal and State agreements, legal relationships, cooperation emergency support, and real estate.

Disposition: Permanent. Retire to the WNRC 5 years after cancelled or superseded. Backup material may be destroyed when canceled or superseded.

**201-13 Emergency Planning Files.** Documents that describe evacuation, relocation, vital records program, and continuity of operation, personnel assignments and related procedures (see 203-14). (Function transferred to OUSD (Policy.)

Disposition: Permanent. Retire to the WNRC 3 years after cancellation or on supersession.

**201-14 Staffing Surveys and Studies Files.** Results, recommendations, charts, and papers on staffing surveys and studies within the OSD. These generally result from new functional requirements requiring new staffing and include both civilian and military.

Disposition: Destroy in CFA when 5 years old.

**201-15 Administrative Guidance Instruction Files.** Documents on AIs, backup, previous issues, notes, and related papers.

Disposition: Retire to the WNRC 5 years after superseded or obsolete. Destroy when 20 years old.

**201-16 Administrative Services and Facilities Files.** Documents on space, logistical services (telephone and supplies) layout, furnishings, building plans and services.

Disposition: Destroy 5 years after no longer current.

**201-17 Organization Charter Files.** Organizational Charter and Delegations of Authority. Documents that authorize and define the scope of authority, primary functions, and organizational relationships within the DoD offices or special committees.

Disposition: Permanent. Retire record copies to the WNRC 1

year after no longer current. Destroy duplicate copies when no longer needed.

**201-18 Congressional Correspondence** - See section 102-18 for proper disposition.

**201-19 Chronological Reading Files** - See section 102-16 for proper disposition.

**202 Office Personnel Files.** The files described in this subgroup are maintained by operating officials and are used in administering military and civilian employees of the organizational segments that are under their control.

**202-01 General Personnel Administrative Files.**

1. Files on the general administration and operation of personnel functions and including college programs, selective placement programs (handicapped, veterans, and ex-offenders) programs, special careers (Summer Aid, Intergovernmental Affairs Fellowship, and Stay-in-School), examinations, paid recruitment advertising, executive development program, merit promotion, employee safety program, and others not specifically described elsewhere in this schedule, excluding those at agency staff planning levels.

**Disposition:** Destroy when 3 years old.

2. Correspondence, reports, memoranda, and other records on employment programs and functions, and manpower management and evaluation, including experts and consultants, overseas employment, reemployment rights, employee transfer and detail, and excepted positions.

**Disposition:** Destroy when 5 years old.

**202-02 Office Personnel Register Files.** Documents used in accounting for office personnel and in controlling office visitors, such as registers reflecting personnel arrival, departure, on leave and temporary duty travel, but not official personnel registers used as direct source documents for preparing morning reports.

**Disposition:** Destroy after 6 months. Earlier disposal is authorized.

**202-03 Reserved.**

**202-04 Strength Reports.** Reports that provide information on strength authorizations and employment. See sections 202-23 and 202-25.3.

**202-05 Position Classification Files.**

**1. Position Classification Files.**

a. Standards. Office of Personnel Management (OPM) standards determining title, series and grade based on duties, responsibilities, and qualifications requirements.

Disposition: Destroy when superseded or obsolete (GRS 1, Item 7) (reference (p)).

b. Development. Memoranda, correspondence, and other records on the development of standards for classification of positions peculiar to the agency and OPM approval of disapproval.

**(1) Case File.**

Disposition: Destroy 5 years after position is abolished or description is superseded.

**(2) Review File.**

Disposition: Destroy when 2 years old.

**2. Position Descriptions (PD).** Files describing established positions including information on title, series, grade, duties and responsibilities.

**a. Record copy.**

Disposition: Destroy 2 years after position is abolished or description superseded.

**b. All other copies.**

Disposition: Destroy when position is abolished or description superseded.

**3. Survey Files. Classification Survey Reports.** Survey reports on various positions prepared by classification specialists, including periodic reports such as the Annual Written Amendment and Annual Supergrade Position Reports.

**a. Office of origin.**

Disposition: Destroy when 3 years old or 2 years after regular inspection, whichever is sooner (GRS 1, Item 7(C)(1)) (reference (p)).

b. Inspection, Audit and Survey Files. Correspondence, memoranda, reports and other records on inspections, surveys, desk audits, and evaluations.

Disposition: Destroy when obsolete or superseded (GRS 1, Item 7(C)(2)) (reference (p)).

4. Appeals Files. Case files on classification appeals.

Disposition: Destroy 3 years after case is closed (See GRS 1, Item 7(d)(1)(2)) (reference (p)).

**202-06 Pending Request Files.** Suspense copies of standard Form 52 (Request for Personnel Action) for various categories of civilian personnel actions, such as accessions, position changes, rate of pay changes, and separations.

Disposition: Destroy on receipt of notification of completion of requested personnel action.

**202-07 Office Personnel Information Files.** Documents on the administration of individual civilian employees and military personnel that are duplicated in, or that are not appropriate for including in the official personnel folder (OPF), the personnel records jacket, the PD file, or the pending request file. Included are notices that individuals have been cleared for classified material, other documents on personnel security, retained copies of reports and other papers on individual injuries, letters of appreciation and commendation, records reflecting training received by individuals, documents reflecting assigned responsibilities of individuals, copies of performance appraisals, off-duty employment information and comparable papers.

Disposition: Review at end of year and destroy documents that have been superseded or are no longer applicable.

**202-08 Recruitment and Placement Files**

1. Documents on employees considered for vacancies, interviews, qualification summaries, notices of eligibility, and related material.

Disposition: Destroy after 2 years old or after OPM inspection, whichever is first.

2. Correspondence offering appointments to potential employees.



a. Accepted offers.

Disposition: Destroy immediately (GRS 1, Item 4a) (reference (p)).

b. Declined offers.

(1) When name is received from certificate of eligibles.

Disposition: Return to OPM with reply and application. (GRS 1, Item 4(b)(1)) (reference (p)).

(2) Temporary or excepted appointment.

Disposition: File inside application (GRS 1, Item 4(b)(2)) (reference (p)).

(3) All others.

Disposition: Destroy immediately (GRS 1, Item 4(b)(3)) (reference (p)).

3. Recruitment and Placement Files (N1-330-87-1). Applications for positions within Department of Defense Dependent Schools (DoDDS). All forms and materials required for the U.S. recruitment program and for local-hire programs, including interview results, offer letters, acceptance letters, and declination letters.

Disposition: Selectees, transfer to Official Personnel Folder (OPFF); consideration declinations, destroy 2 months after annual cut off date (1 December); all others, destroy 2 months after annual cut off, unless applicant has indicated continued interest in the program (by the established deadline), in which the case file is brought forward (may be returned to applicant if requested by the deadline).

**202-09 Standards of Conduct Files.** Documents on procedures to ensure that all personnel fully understand the standards of conduct and ethics. For example, procedures requiring that each individual periodically read applicable directives and sign a document indicating that the directives are understood.

Disposition: Destroy after the next periodic application or on inactivation of the office, whichever is first.

**202-10 Nondisclosure Agreement and Security Awareness Files.**

1. Copies of nondisclosure agreements, such as SF 312,

Classified Information Nondisclosure Agreement, signed by civilian and military personnel with access to information that is classified under standards put forth by Executive Orders governing security classification. These forms should be maintained separately from personnel security clearance files but may be filed in the individual's official military personnel folder (for uniformed military personnel) or on the right side of the official personnel folder (for civilian employees).

Disposition: a. If maintained separately from the individual's official personnel folder, destroy when 50 years old. b. If maintained in the individual's official personnel folder, apply the disposition for the official personnel folder, or destroy when 50 years old, whichever is later (GRS 18, Item 25) (reference (p)).

2. Security Awareness Files. Documents on procedures used to obtain compliance with security regulations by all personnel. For example, procedures requiring that each individual periodically read applicable security regulations and sign a memorandum indicating that the regulations are understood.

Disposition: Destroy after the next periodic application or on inactivation of the office, whichever is first.

**202-11 Temporary Duty Travel Files.** Copies or requests and authorizations for military personnel TDY travel and civilian personnel TDY and PCS travel, similar issuances, and related documents on travel.

Disposition: Destroy after 3 years or on discontinuance, whichever is first.

**202-12 Official Personnel Folders.** Records filed on the right side of the OPF (See GRS 1, Item 10, for disposal of papers on the left or "temporary" side of the OPF) (reference (p)).

1. Transferred employees.

Disposition: See Page Federal Personnel Manual for Supplement 293-31, Subchapter S4 for instructions on folders of employees transferred to another agency (GRS 1, Item 1) (reference (p)).

2. Separated employees.

Disposition: Transfer folder to: National Archives and Records Administration, National Personnel Records Center (NPRC), 111 Winnebago Street, St. Louis, Missouri, 63118, 30-120 days

after separation. NPRC will destroy 65 years after separation from the Federal service.

**202-13 Survey Files.** Classification Survey Reports. Survey reports on various positions prepared by classification specialists, including periodic reports such as Annual Written Amendment Report and the Annual Supergrade Position Report.

Disposition: See 202-05.3.

**202-14 Application Files (SF 171).** Unsuccessful applications for appointment and related papers, excluding records on appointments requiring Senatorial confirmation, and applications filed in official personnel folders. File in accordance with inspection requirements of the Federal Personnel Manual.

Disposition: Destroy upon receipt of OPM report of inspection or when 2 years old, whichever is earlier, providing requirements of Chapter 33, Section A-4 of the Federal Personnel Manual are observed (GRS 1, Item 15) (reference (p)).

**202-15 Correspondence Files**

1. Correspondence in Personnel and Security (P&S) on its administration and operation.

Disposition: Dispose of 3 years after file cutoff (GRS 1, Item 3) (reference (p)).

2. All copies of correspondence and forms maintained as temporary records on the left side of the OPF in accordance with the Federal Personnel Manual, Chapter 293, and Supplement 293-31 (reference (s)).

Disposition: Destroy on transfer to another agency (except in a transfer of functions) or separation of the employee.

3. Correspondence and forms in P&S relating to individual employees that are not authorized for maintenance in the OPF and not covered elsewhere in this schedule.

a. Correspondence and forms on pending personnel actions.

Disposition: Destroy when action is completed (GRS 1, Item 17(b)(1)) (reference (p)).

b. General correspondence and forms including retention registers from which reduction-in-force actions have been taken.

Disposition: Destroy 2 years after file is closed (GRS 1, Item 17(b)(1)) (reference (p)).

c. Retention registers from which no actions have been taken.

Disposition: Destroy when superseded (GRS 1, Item 17(b)(2)) (reference (p)).

**202-16 Service Record Card Files.** (Standard Form 7 or its equivalent).

1. Cards for employees separated on or before Dec. 31, 1947.

Disposition: Transfer to NPRC (CPR) St. Louis, Mo; destroy 60 years after earliest personnel action (GRS 1, Item 2(a)) (reference (p)).

2. Cards for employees separated or transferred on or after January 1, 1948, in accordance with Federal Personnel Manual Supplement 293-31 (reference (s)).

Disposition: Destroy 3 years after year of employee's separation or transfer to another agency (GRS 1, Item 2(b)) (reference (p)).

**202-17 Reserved.**

**202-18 PDs and Related Material Files.** (GRS 1, Item 7, Jun 88) (reference (p)).

1. Record copy of position descriptions that include information on title, series, grade, duties, responsibilities, and related documents.

Disposition: Destroy 2 years after position is abolished or description superseded (GRS 1, Item 7(b)) (reference (p)).

2. Survey Files.

Disposition: See 202-05.

3. Appeals files. Case files on classification appeals.

Disposition: Destroy 3 years after case is closed (GRS 1, Item 7(d)(1)) (reference (p)).

### **202-19 Certificate of Eligibility Files.**

1. Certificates of eligibles with related requests, forms, correspondence, and statement of reasons for passing over a preference eligible and selecting a nonpreference eligible.

Disposition: Destroy when 2 years old (GRS 1, Item 5) (reference (p)).

2. Certificate of Eligibility Files (NC1 330-87-1)  
Case files on educators in the DoDDS system including certificates of DoDDS certification, college transcripts, other supporting documents. Also included are correspondence and memos and other material on each teacher.

Disposition: Destroy 1 year after educator no longer employed by the DoDDS. Educators participating in the DoDDS Administrative Reemployment Rights (ARR) program, hold until return to active employment, then consolidate with active files for that year.

### **202-20 Suggestion and Superior Accomplishment Awards Files.**

1. Employee suggestion case files including files on management improvement suggestions considered under various legislation.

Disposition: Retire 1 year after cutoff for retention of (a) the original case file for an additional 5 years, and (b) the duplicate copies for an additional 2 years.

2. Case files on rewards for superior accomplishments.

Disposition: Destroy 6 months after file cutoff. Cut off file annually.

3. Certificates of performance ratings.

Disposition: Destroy 2 years after cutoff.

**202-21 Efficiency Rating Files.** Duplicate copies of material on a review of an efficiency rating by a board on which the original case material has been forwarded to the OPM.

Disposition: Cut off annually. Destroy 1 year after file cutoff.

### **202-22 Notification of Personnel Action Files.**

1. Chronological file copies of notification of personnel actions, including fact sheets.

Disposition: Destroy 2 when years old (GRS 1, Item 14(a) and Federal Personnel Manual Supplement 293-31) (reference (p) & (reference (s))).

2. Pay or fiscal copy.

Disposition: Destroy 2 years after audit of related pay records by the General Accounting Office (GAO).

3. All others.

Disposition: Destroy when 1 year old, providing the requirements of Federal Personnel Manual Supplement 293-31 (reference (s)) are observed.

4. DoDDS Inter-Intraregional and/or Transfer and Reassignment File (NCl-330-87-1) Applications, reports, memos, correspondence on the reassignment of personnel between and among regions through the DoDDS Interregional Transfer and/or Intra-regional Reassignment Programs.

Disposition: Cut off annually. Destroy 1 year after cut off.

5. Educator Career Program. Applications, reports, memos, correspondence on the lateral transfer and opportunities for promotion of DoDDS personnel afforded by the DoDDS Educator Career Program.

Disposition: Cut off annually. Destroy 1 year after cut off.

**202-23 Personnel Statistical Reports Files.**

1. Statistical reports maintained or prepared by offices other than P&S.

Disposition: Destroy 2 years after cutoff.

2. Statistical summaries and reports on employee health and related papers, exclusive of the copy maintained by the reporting unit.

Disposition: Destroy 2 years after cutoff.

**202-24 Policy and Procedure Record Material Files**  
Documentation of policies, procedures, and standards governing civilian personnel administration.

Disposition: Permanent. Retire file to the WNRC 1 year after file cutoff. Transfer to National Archives when 25 years old.

#### **202-25 Civilian Manpower and Personnel Records Files**

1. Records that relate to the development and implementation of policies, procedures, and standards for civilian personnel management and studies, surveys or other material that relate to National Manpower Administration that is of interest to the Department of Defense.

Disposition: Permanent. Retire record copies and all backup material to the WNRC 1 year after implementation of the policy, procedures or standards. Transfer to the National Archives after 20 years. Destroy duplicate and reproduced copies when the policy, standard, or procedure is rescinded or revised, unless part of a case file.

2. Records that relate to the internal management and operational aspects of civilian personnel administration, such as records on the control of positions, determinations, and justifications of personnel authorizations and requirements, controls to ensure that authorizations are not exceeded, and reporting records covering civilian personnel strength not covered under other items in this section.

Disposition: Destroy when 5 years old.

3. Records that support reports and other statistical data required by law or regulation such as percentages or minorities, statistics or progress achieved in implementation of EEO program, grade distribution and the like.

Disposition: Permanent. Retire record copies supporting related data to the WNRC 2 years after file cutoff. Transfer to National Archives after 20 years old. Destroy all duplicate and nonrecord material 6 months after file cutoff unless part of case file.

#### **202-26 Department of Defense Civilian Employees Health Unit and Employee Medical Folder (EMF) Records.**

1. Health Unit Records. These records contain forms, correspondence, and other records on an employee's medical history, occupational injuries or diseases, physical examinations, and all other treatment received in health units. Included are industrial hygiene consultations, laboratory and X-ray findings, reports of pulmonary function tests, audiograms, records tests, and chemical hazards, clinical record cover sheets or equivalent.

Disposition: Retire records of civilian employees who are separated from the National Personnel Records at the end of each calendar year. Destroy 30 years later (See Note 3).

NC1-330-81-7

Notes:

1. These records are not to be confused with hospital in- and out- patient clinical records retained for 75 years after birthdate for nonmilitary persons pursuant to other approved records control schedules.

2. Original pre-employment, disability retirement, and fitness for duty examinations are to be filed in the Official Personnel Folder upon separation of the employee (FPM Supplement 293-31) (reference (s)).

3. Longer retention periods may be required by Regulatory Agencies such as: Occupational Safety and Health Administration (OSHA), Nuclear Regulatory Commission (CFR Title 10, Part 20) (reference (r)), and Environmental Protection Agency (EPA). In this event, a new SF-115 must be submitted.

4. Employee Medical Folders (GRS 1, Item 21) (reference (p)). These files consist of long-term medical records as defined in the Federal Personnel Manual 293-31 (reference (s)).

Disposition: a. For transferred employees, see the FPM for instructions. b. For separated employees, transfer to the National Personnel Records Center 30 days after separation. NPRC will destroy 75 years after birth date of employee, 60 years after date of the earliest document in the folder if the date of birth cannot be ascertained, or 30 years after latest separation, whichever is latest. c. Temporary or short-term records as defined in the FPM, destroy 1 year after separation or transfer of the employee. d. Individual Employee Health Case Files created before establishment of the EMF system that have been retired to an FRC, destroy 60 years after retirement (GRS 1, Item 21, Jun 88) (reference (p)).

202-27 Military Personnel. Official Military Personnel Records created as the result of detail or assignment to the OSD that normally would be made a part of the individual's personnel file and other pertinent and related correspondence. Orders and citations for the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint Service Commendation Medal, and OSD Identification Badge.



Disposition: Records maintained by the Service Representatives in OSD Military Personnel are considered unit-level files for the Service Elements and are maintained in accordance with the appropriate Service regulations.

**202-28 Military Manpower and Personnel Records Files.**

1. Records on the development and implementation of policies, procedures, and standards for military personnel management and studies, surveys, or other material that relate to National Manpower Administration that is of interest to the Department of Defense.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete as appropriate for documents maintained in accordance with series 103-01.

2. OSD manpower authorizations, justification folders for new positions or deletions; control over grade requirements. (These are not individual personnel files.)

Disposition: Retire to the WNRC 1 year after no longer current. Destroy when 30 years old.

3. Policy matters on the OSD Identification Badge.

Disposition: Destroy 3 years after supersession.

4. Records that relate to the internal management and operational aspects or military personnel administration, such as records on position control; determinations and justifications of personnel authorizations and requirements, controls to ensure that authorizations are not exceeded; and other reporting records covering military personnel strengths that are not covered under other items in this AI.

Disposition: Retire record copies to the WNRC 1 year after cutoff. Destroy when 25 years old. Destroy duplicate and nonrecord material 6 months after cutoff unless part of a case file.

5. Records that support reports and other statistical data required by law or regulation.

Disposition: a. Permanent. Retire record copies and supporting or relating data to the WNRC 2 years after cutoff. Transfer to the National Archives when 20 years old.  
b. Destroy duplicate and nonrecord material 6 months after cutoff.

**202-29 Individual Accounting Files.** Records that relate to accounting for individuals.

Disposition: Destroy individual leave authorization when adjustments are made.

**202-30 Military Leave Files.** Records that relate to leave of military personnel.

Disposition: Records maintained by the Service Representatives in OSD Military Personnel are considered unit-level files for the Service Elements and maintained in accordance with the appropriate Service regulations.

**202-31 Individual Actions Files.** Correspondence on individual actions about personnel, that do not qualify as records of permanent value; records of criticism or complaint when no official action is taken.

Disposition: Destroy file 6 months after individual is released from OSD duty.

**202-32 Statistical Reports File**

1. Statistical reports maintained or prepared by offices other than P&S on military personnel matters.

Disposition: Destroy when 2 years old.

2. Records submitted by the Military Departments supporting reports, policy statements, standardized procedures, criteria, and other matters on the overall administration of military personnel.

Disposition: Permanent. Retire to the WNRC when 5 years old.

**202-33 Policy and Procedure Records Files - Military Personnel**

1. Statistical summaries and reports on military personnel training, including outlines of the course, names of individuals attending, copies of speeches, lecture material, required reading material and all other material relating to educational programs conducted by the OSD independently of the Military Departments.

Disposition: Permanent. Statistical summaries and reports - transfer record copies to the WNRC when course is revised or discontinued. Transfer to National Archives when 20 years old. Destroy other materials when it becomes obsolete.

2. Documentation of policies, procedures and standards governing military personnel administration, including position evaluation and assignment, and military personnel quotas for both normal and mobilization periods.

Disposition: Permanent. Transfer discontinued file to the WNRC when 1 year old. Transfer to the National Archives when 20 years old. Destroy duplicate copies when superseded or revised unless part of a case file.

**202-34 Internal Management Files.** Correspondence on internal management and operations affecting military personnel administration.

Disposition: Destroy material when 5 years.

**202-35 Military Awards.** Official record copies of awards approved by the Secretary of Defense for presentations such as the Defense Distinguished Service Medal, Joint Service Commendation Medal, and comparable awards.

Disposition: Retire OSD official documents to the WNRC 3 years after cutoff. Destroy when 15 years old. See paragraph 202-28 for disposition of copies of awards to individual Military Services.

**202-36 Military Acceptance Files.** Records on the establishment of policy, standards, and criteria governing admission and acceptance for military service and means of obtaining individuals in critical skills areas, including pay benefits, allowance, and other associated matters.

Disposition: Permanent. Retire to the WNRC 2 years after file cutoff. Transfer to National Archives when 20 years old. Destroy duplicate and nonrecord material 6 months after cutoff.

**202-37 Labor Management Relations Records**

1. Labor Management Relations and Case Files. Correspondence, memoranda, reports, and other records on the relationship between management and employee unions or other groups.

a. Office negotiating agreement.

Disposition: Destroy when 5 years old (GRS 1, Item 28(a)(1)) (reference (p)).

b. Other offices.

Disposition: Destroy when superseded or obsolete (GRS 1, Item 28(a)(2)) (reference (p)).

2. Labor Arbitration General and Case Files. Correspondence, forms, and background papers on labor arbitration cases.

Disposition: Destroy 5 years after resolution of case (GRS 1, Item 28(b)) (reference (p)).

**202-38 Labor Management Relations Files.** See Series 1802-02 for the DoD files on the subject.

**202-39 Security Policies Application.** Documents concerning general information applicable to personnel security. Security of classified matter in the personnel office and related material.

Disposition: Destroy when no longer current.

**202-40 Personnel Security Clearance Files.** Relates to the administration of the personnel security program involving clearances of civilian employees, applicants for employment, consultants, contractors and military personnel.

a. Case files created on civilian personnel, consultants, and applicants for employment, containing requests for security clearances, copies of documents accumulated as a result of creating, controlling, requesting and transmitting investigative dossiers and clearance certifications between various investigative and clearance-granting agencies, briefings/debriefings, routine requests for information, tracer letters, transmittal letters, lists or letters reflecting security clearance of individuals.

Disposition: Inactivate file when employee leaves the agency; retain in files storage area and destroy after 2 years.

b. Summaries of reports of investigation relating to cases where serious derogatory information is involved, including documents reflecting actions taken and copies of documents similar to those described in a. above.

Disposition: Retain in files storage area and destroy 5 years after date of clearance determination.

c. Case files created on individuals for whom WHS has no clearance granting authority, i.e., military and contractor personnel, containing letters of transmittal, miscellaneous correspondence, verification of clearances granted by the appropriate military department or Defense Industrial Security Clearance Office, briefings/debriefings.

Disposition: Destroy military personnel case files when individual leaves WHS. Destroy contractor case files when notification of Sensitive Compartmented Information (SCI) access approval by Defense Intelligence Agency. (Investigative reports will be destroyed in accordance with regulations established by each investigative agency.)

**202-41 Special Assignments.** Documents containing information on the security clearance and authorization for access to particularly sensitive classified matter. Not including reports of investigation, counterintelligence, or clearance documents filed in the official personnel folder.

Disposition: Destroy on transfer or separation of individual concerned.

**202-42 Statements of employment and financial interests, and related papers.**

Disposition: Destroy 2 years after employee leaves a position in which a statement is required, or 2 years after the employee leaves the agency, whichever is earlier.

**202-43 Equal Employment Opportunity Records.** Official Discrimination Complaint Case Files. Office of the Secretary of Defense OSD file containing complaints with related correspondence, reports exhibits, withdrawal notices, copies of decisions, records of hearings and meetings, and other records as described by 29 CFR 1613.222 (reference (t)).

1. Cases resolved within the agency by the Equal Employment Opportunity Commission (EEOC), or by a U.S. Court.

Disposition: Destroy 4 years after resolution of case (GRS 1, Item 25a) (reference (p)).

2. Copies of Complaint Case Files. Duplicate case files or documents on case files retained in Official File Discrimination Complaint Case File.

Disposition: Destroy 1 year after resolution of case.

3. Background Files. Background records not filed in the Official Discrimination Complaint Case File. (See GRS)

Disposition: Destroy 2 years after final resolution of case.

4. Compliance Records

a. Compliance Review Files.

Disposition: Destroy when 7 years old. Reviews, background papers and correspondence on contractor employment practices.

b. EEO Compliance Reports.

Disposition: Destroy when 3 years old.

5. Employee Housing Requests. Forms requesting agency assistance in housing matters, such as rental or purchase.

Disposition: Destroy when 1 year old.

6. Employment Statistics Files. Employment statistics relating to race and sex.

Disposition: Destroy when 5 years old.

7. EEO General Files. General correspondence and copies of regulations with related records on the Civil Rights Act of 1964 and the EEO Act of 1972, and any pertinent future legislation; and agency EEO committee meetings and records including minutes and reports.

Disposition: Destroy when 3 years old, or when superseded or obsolete, whichever is applicable.

8. EEO Affirmative Action Plans (AAP).

a. Agency copy of consolidated AAP(s).

Disposition: Destroy 5 years from date of plan.

b. Agency feeder plan to consolidated AAP(s).

Disposition: Destroy 5 years from date of feeder plan or when administrative purposes have been served, whichever is sooner.

**202-44 Personnel Injury Files.** Correspondence and related investigatory records on-the-job injuries whether or not a claim for compensation was made; excluding copies filed in the OPF, and copies submitted to the Department of Labor.

Disposition: Destroy when 3 after cut off (GRS 1, Item 31) (reference (p)).

## **202-45 Employee Awards Files.**

### **1. General awards records.**

a. Case files including recommendations, approved nominations, memoranda, correspondence, reports and related handbooks pertaining to agencies sponsored cash and noncash awards such as incentive awards, within grade merit increases, suggestions, and outstanding performance.

Disposition: Destroy 2 years after approval or disapproval (GRS 1, Item 12(a)(c)(d)) (reference (p)).

b. Correspondence of memoranda on awards from other Government agencies or private organizations.

Disposition: Destroy when 2 years old.

c. Lists or indexes to agency award nominations. List of nominees and winners, and indexes of nominations.

Disposition: Destroy when superseded or obsolete.

d. Military Awards (NC1-330-77-17). Awards approved by the Secretary of Defense for presentation, such as the Defense Distinguished Service Medal, Defense Superior Service Medal, Joint Service Commendation Medal, the OSD Identification Badge, or other comparable awards sponsored by the OSD.

Disposition: Retire to the WNRC 3 years after cutoff. Destroy when 15 years old. See section 202-27 for disposition of copies of awards to individual Military Services. Record copies are maintained in the individual's military personnel jacket.

## **202-46 Duplicate Documentation and Personnel Files Maintained Outside Personnel Offices.**

1. Supervisor's Personnel Files. Correspondence, memoranda, forms, and other records on positions, authorizations, pending actions; copies of PDs, requests for personnel action, and records on individual employees duplicated in or not appropriate for the OPF.

Disposition: Review annually and destroy superseded or obsolete documents, or destroy all documents on an individual employee 1 year after separation or transfer (GRS 1, Item 18(a)(b)) (reference (p)).

2. Duplicate Documentation. Other copies of documents duplicated in OPFs not provided for elsewhere in this schedule.

Disposition: Destroy when 6 months old.

**202-47 Personnel Counseling Records.** These files consist of counseling files, reports of interviews, analyses, and related records. (For records pertaining to coordinating, planning, and directing the Federal Workplace Drug Free Testing Program, see 202-51.)

**Disposition:** Destroy 3 years after termination of counseling (GRS 1, Item 26(a)) (reference (p)).

**202-48 Training Records**

1. Training Aids.

a. One copy of each manual, syllabus, textbook, and other training aids developed by the agency.

**Disposition:** Permanent. Retire to the WNRC when course is revised or discontinued.

b. Training aids from other agencies or private institutions.

**Disposition:** Destroy when obsolete or superseded.

2. General file of agency-sponsored training.

a. Correspondence, memoranda, agreements, authorizations reports, requirement reviews, plans, and objectives on the establishment and operation of training courses and conferences.

**Disposition:** Destroy when 5 years old or 5 years after completion of a specific training program (GRS 1, Item 29(a)(1)) (reference (p)).

b. Background and workpapers.

**Disposition:** Destroy when 3 years old (GRS 1, Item 29(a)(2)) (reference (p)).

3. Employee training. Correspondence, memoranda, reports, and other records on the availability of training and employee participation in training programs sponsored by other Government Agencies or non-government institutions.

**Disposition:** Destroy when 5 years old or when superseded or obsolete, whichever is sooner (GRS 1, Item 29(b)) (reference (p)).

4. Course Announcement Files. Reference file of pamphlets,



notices, catalogs and other records that provide information on courses or programs offered by Government or non-government organizations.

Disposition: Destroy when superseded or obsolete.

**202-49 Grievance, Disciplinary, and Adverse Action Files**

1. Grievance, Appeals Files (5 CFR 771) (reference (u)). Records originating in the review of grievance and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, a copy of the original decision, related correspondence and exhibits, and records on a reconsideration request.

Disposition: Destroy 4 years after case is closed (GRS 1, Item 30(a)) (reference (p)).

2. Adverse Action Files (5 CFR 752) (reference (u)). Case files and related records created in reviewing an adverse action (disciplinary or nondisciplinary removal, suspension, leave without pay, reduction-in-force) against an employee; includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports and decisions; reversal of action; and appeal records, EXCLUDING letters of reprimand.

Disposition: Destroy 4 years after case is closed (GRS 1, Item 30(b)) (reference (p)).

**202-50 Individual Promotion Files.** Records on the promotion of an individual that document qualification standards, evaluation methods, selection procedures, and evaluation of candidates, EXCLUDING any records that duplicate information in the promotion plan, are in the OPF or in other personnel records.

Disposition: Destroy 2 years after the personnel action or after the action has been audited by the OPM, whichever is sooner.

**202-51 Federal Workplace Drug Testing Program Files** (GRS 1, Item 36) (reference (p)). These files consist of drug testing program records created under E.O. 12564 and PL 100-71, Section 503 (101 Stat. 468) (reference (v)) (reference (w)), excluding consolidated statistical and narrative reports concerning the operation of the agency program (see series 902). Disciplinary action case files on actions taken against employees for drug use, possession, failure to comply with drug testing procedures, and similar matters are covered by 202-49.2, Adverse Action Files. Any records that are relevant to litigation or disciplinary actions should be disposed of no earlier than the

related litigation or adverse action case files.

1. Drug test plans and procedures, excluding documents filed in formal issuances such as directives, procedures handbooks, etc. These files consist of copies of plans and procedures, with related drafts, correspondence, memoranda, and other records on the development of procedures for drug testing programs, including the determination of testing incumbents in designated positions.

Disposition: Destroy when 3 years old or when superseded, obsolete, or no longer needed, whichever is later (GRS 1, Item 36(a)) (reference (p)).

2. Employee acknowledgement of notice forms. These are forms completed by employees whose positions are designated sensitive for drug testing purposes acknowledging that they have received notice that they may be tested.

Disposition: Destroy when employee separates from testing-designated position (GRS 1, Item 36(b)) (reference (p)).

3. Selection/scheduling records. These are records relating to the selection of specific employees/applicants for testing and the scheduling of tests. Included are lists, notification letters, and testing schedules.

Disposition: Destroy when 3 years old (GRS 1, Item 36(c)) (reference (p)).

4. Records on the collection and handling of specimens.

a. Bound record books containing identifying data on each specimen, recorded at each collection site in the order in which the specimens were collected.

Disposition: Destroy 3 years after date of last entry (GRS 1, Item 36(d)(1)) (reference (p)).

b. Chain of custody records consisting of forms and other records used to maintain control and accountability of specimens from the point of collection to the final disposition of the specimen.

Disposition: Destroy when 3 years old (GRS 1, Item 36(d)(2)) (reference (p)).

5. Test results consisting of records documenting individual test results, including reports of testing,

notifications of employees/applicants and employing offices, and documents relating to follow-up testing.

Disposition: Destroy when 3 years old (GRS 1, Item 36(e) (reference (p))).

**203 Records Management Files.** These files result from the planning, promulgation, and execution of concepts and procedures for managing the creation, transmission, maintenance, use, and disposition of OSD records (see GRS 16 (reference (p))).

**203-01 Records Management Survey Files.** Documents on staff visits and surveys conducted to provide advice and assistance on, or to evaluate the effectiveness of, records management operations and programs. Included are notifications of visits, reports of visits and surveys, reports of corrective action taken, and related documents.

Disposition: Office performing OSD-wide staff responsibility: Destroy after 15 years. Other offices: Destroy 2 years after next comparable survey or on discontinuance of the surveyed office, whichever is first.

**203-02 Records Management Survey Background Files.** Documents used in preparing for records management surveys. Included are organizational charts, statements of functions, copies of records management directives, lists of personnel responsible for records management, volume of records data, copies of training materials, copies of authorized deviations, schedules of surveys, notes drafts, and similar or related documents.

Disposition: Destroy in CFA after 5 years. Earlier destruction is authorized.

**203-03 Access to Information Files** Documents on the formulation of DoD procedures, conditions, and restrictions on the release of information from files, release of copies, and the granting of access to records for official or unofficial research. Included are case files with requests, basic interpretations, decisions precedents, studies, and related or similar papers.

1. Procedures, restrictions and conditions. Offices responsible for formulating OSD concept.

Disposition: Permanent. Cut off after 5 years and retire to the WNRC.

2. Case files.

Disposition: Cut off after 5 years. Retire to the WNRC; destroy when 15 years old.

**203-04 Records Disposal Authorization Files.** Documents on authorization by Congress or the Archivist of the United States to destroy records. Included are studies, coordination actions, requests for authority to destroy records, archival appraisals, and approvals or disapprovals.

Disposition: Destroy when 25 years old.

**203-05 Records Locator and Distribution Files.** Documents reflecting files that have been transferred or retired. Included are records shipment lists and records transfer lists.

Disposition: Offices retiring records: Destroy after all records listed thereon have been destroyed, except those reflecting permanent files may be destroyed when no longer needed for reference. Records Management Division: Keep hardcopy version of OSD offices' submissions until converted to electronic medium, then destroy; purge data base when no longer needed for reference.

**203-06 Records Management System Files.** Documents on the appraisal of records systems and procedures such as those relating to miniaturization, office copying, and word processing. Included are evaluation studies and similar or related documents.

Disposition: Approved Systems: Destroy after 1 year.

**203-07 Records Holding Reporting Files.** RESCINDED.

**203-08 Records Disposition Standard Exemption Files.** Documents reflecting exceptions to records disposition standards authorized by responsible records management officials. Included are requests, approvals, and related documents.

Disposition: Destroy on expiration of exception.

**203-09 National Archives Liaison.** Documents, correspondence, and the like pertaining to exchange between National Archives and the OSD on the subject of records management.

Disposition: a. Any authority to destroy or exemptions granted by NARA will be retained for 6 years. Retire to the WNRC at that time. Destroy when 25 years old. b. Other general correspondence may be destroyed after 2 years.

**203-10 Privacy Act Files.** (GRS 14, Items 22-26) (reference (p)). (Note: Privacy Act requests are filed by Office of Assistant Secretary of Defense (OASD) (PA), Freedom of Information and Security Review. See para. 704.)

1. Privacy Act accounting of Disclosure Files. Files maintained under the provision of 5 U.S.C. 552a(c) (reference (x)) for an accurate accounting of the date, nature, and purpose of each disclosure of a record to any person or to another agency, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later (GRS 14, Item 23) (reference (p)).

2. Privacy Act Amendment Case Files. Files on an individual's request to amend a record pertaining to that individual as provided for under 5 U.S.C. 552a(d)(2); to the individual's request for a review of an agency's refusal of the individual's request to amend a record as provided for under 552a(d)(3); and to any civil action brought by the individual against the refusing agency as provided under 5 U.S.C. 552a(g) (reference (x), GRS 14, Item 22 (reference (p))).

a. Requests to amend a record agreed to by agency. Includes individual's request to amend and/or review refusal to amend, copies of Agency's replies thereto, and related materials.

Disposition: Dispose of in accordance with the approved disposition instruction for the related subject individual's record or 4 years after Agency's agreement to amend, whichever is later (GRS 14, Item 22(a) (reference (p))).

b. Requests to amend refused by agency. Includes individual's requests to amend, copies of Agency's replies thereto, statement of disagreement, Agency justification for refusal to amend a record, and related materials.

Disposition: Dispose of in accordance with the approved disposition instructions for the related subject individual's records; 4 years after final determination by Agency or 3 years after final adjudication by courts, whichever is later (GRS 14, Item 22(b) (reference (p))).

c. Appealed requests to amend. Includes all files created in responding to appeals under the Privacy Act for

refusal by any Agency to amend a record.

Disposition: Dispose of in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by courts, whichever is later (GRS 14, Item 22(c) (reference (p))).

3. Privacy Act Reports Files. Recurring reports and one-time information requirements relating to Agency implementation, including annual reports to the Congress of the United States, the Office of Management and Budget, and the Report on New Systems. Annual reports at departmental or agency level.

Disposition: Destroy when 2 years old (GRS 14, Item 25) (reference (p))).

4. Privacy Act General Administrative Files. Records on the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Disposition: Destroy when 2 years old or sooner if no longer needed for administrative use (GRS 14, Item 26) (reference (p))).

**203-11 Declassification Management Files.** Documents, directives, and correspondence on the subject. Requests for declassification from in and out of DoD. Responses, appeal referrals and general policy files.

Disposition: Retain case files for 3 years after last entry. Retire to the WNRC. Destroy when 10 years old.

**203-12 Data Index Systems Files.** Policy direction on the methods to be employed in developing an automatic or manual system to recognize and downgrade classified documents of a permanent nature. The identification of data elements in the system and the anticipated output. The present OSD system is manual.

Disposition: Informational documents: Destroy when no longer needed for current business.

**203-13 Micrographic Management Files.** Policy directives prescribing functions and responsibilities of micrographic management program in the OSD. Included may be inventories of equipment, feasibility studies, and justification for systems developed to convert hard copy to microform version.

Disposition: a. Feasibility studies and justification. Destroy when superseded by subsequent studies. b. Others. Destroy when no longer needed.

**203-14 Vital Records Program Files.** Correspondence, inventories, directives, policy.

Disposition: Permanent. Policy and procedural Directives. Retire to the WNRC when superseded or obsolete. Transfer to National Archives when 20 years old. Destroy old inventories when superseded.

**203-15 Source Data Systems Files.** Instructive materials, system studies, directives.

Disposition: Destroy when no longer current.

**203-16 Mail Management Files.** Systems studies, statistics, proposals, directives, instructional materials.

Disposition: Destroy when no longer current.

**204 Floor Space Management and Service Files.** Acquisition, allocation, and utilization of space and office services including related correspondence.

**204-01 Space Management.** Records relating to the allocation, utilization, and release of space under departmental control and related reports to the GSA (GRS 11, Item 2) (reference (p)).

Disposition: a. Dispose of building plan file and related departmental records on space utilization, planning assignment, or adjustment 2 years after termination of assignment, when lease is cancelled, or when plans are superseded or become obsolete. b. Dispose of records supporting, and copies of, reports submitted to GSA on space occupied, both inside and outside the National Region, 2 years after annual file cutoff. c. Destroy space plan file and related record material used in space planning, and assignment and adjustment of space allocated to the OSD 2 years after file cutoff. d. Destroy record copies supporting reports submitted to the Department of Defense space control activity regarding space occupied by the OSD 2 years after file cut off. e. Dispose of correspondence files on space and maintenance matters of an administrative or operating nature 3 years after cutoff (GRS 11, Item 2(a) (reference (p))).

**204-02 Duty Hours Coordination Files.** Documents on duty hours of principal DoD Components in the Pentagon; guard and custodial services, and related correspondence.

Disposition: Destroy when 5 years old.

**204-03 Administrative Policy Files.** Documents on the development, preparation, issuance, and interpretation of directives or regulatory instructions and facilities and space.

**Disposition:** Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

**204-04 Space and Facilities Files.** Copies of documents on space assignments, agreements, building plans, alterations requests, maintenance, and related records.

**Disposition:** Destroy 5 years after termination of assignment.

**204-05 OSD Liaison Files.** Documents on liaison with the GSA and other Federal agencies on the subject of space management.

**Disposition:** Destroy after 5 years.

**204-06 Concession Operations Files.** Documents on correspondence with various concessions operations. Leases and other agreements on use and operations.

**Disposition:** Cut off when new agreement reached or concessionaire relocates. Retain 2 years, then retire to the WNRC for an additional 5 years.

**204-07 Credential Files.**

1. Property passes.

**Disposition:** Destroy credentials 3 months after return to issuing office (GRS 18, Item 12) (reference (p)).

2. Parking Permit.

**Disposition:** Destroy at time of annual turnover (GRS 11, Item 4(a) (reference (p))).

**204-08 Building and Equipment Services.** Requests for building and equipment maintenance services, excluding fiscal copies.

**Disposition:** Destroy 3 months after work performed or requisitions canceled (GRS 11, Item 5) (reference (p)).

**204-09 Parking Financial Files**

1. Accounts maintained for site audit records consisting of



statements of transactions, collection schedules, etc.

Disposition: Retain on site 3 years. Retire to the WNRC for an additional 3 years and 3 months.

## 2. General Accounting Ledger.

Disposition: Destroy 10 years after the close of the fiscal year.

**205 Historical Files.** Documents on general policies and procedures governing development of historical data and special historical studies.

**205-01 Historical Records and Reports File.** Documents prepared by historians under the OSD historical program.

Disposition: Permanent. Retire to the WNRC 2 years after cutoff.

**205-02 Historical Research and Reference Files.** Documents collected and maintained by historians in the preparation of histories, occasional studies, and reports.

Disposition: Destroy when superseded or obsolete.

**206 Budget and Finance.** Budget and apportionment records include the various files accumulated in an agency in the course of formulating its budget for submission to the Office of Management and Budget (OMB) and to the Congress; in defending its requests for funds before both bodies; and after enactment of an appropriation bill, in ensuring that the funds are used in such a way as to suffice for the appropriate period of time. The funds are made available to the agency by the OMB, usually in quarterly portions, and the agencies must indicate and justify regularly to OMB their proposed rate of expenditure. After the funds have been made available to the OSD, its own controls over the funds are in its expenditure accounting records, and detailed information relative to expenditures is contained in the accountable officer's account.

Paragraphs 206-01 through 206-07 of this schedule apply to records of budget preparation, presentation, and apportionment. OSD budget records normally are created at all levels of organization. They show proposals from all operating levels as well as the OSD-wide coordinating work done by the budget office. Therefore, the records consist of detailed work papers and budgetary statements developed by single operating units, the more significant budget statements and related papers representing consolidated submissions prepared at the OSD level.

The nature of the budget presentation itself is standardized by the OMB, which prescribes a format and procedures for all Federal Agencies. The budget submission, a record copy of which is designated by the OSD, is a duplicate of the set of papers submitted to the OMB. These include summary statements of appropriations and expenditures, statements of contract authorizations, and statements of receipts as well as narrative summary statements that highlight the principal features of the OSD requests and supporting documents. The narrative presents the policies and the programs of the agency that the budgetary requests are to support. In addition to the summaries, the submission includes schedules of obligations and statements on each type of appropriation and fund under which OSD operates. Finally, OMB requires additional supporting data on objects of expenditure, particular agency programs, and figures based on the cost of various types of service operations, such as personnel and payrolling activities.

**206-01 Budget Policy Files.** Correspondence or subject files documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for OSD programs.

Disposition: Permanent. Cut off when superseded or obsolete and retire to the WNRC, as appropriate for documents maintained in accordance with series 103-01.

**206-02 Budget Background Records.** Working papers, cost statements, and rough data accumulated in the preparation of annual budget estimates, including duplicates of papers described in 206-04.

Disposition: Destroy 1 year after the close of the fiscal year covered by the budget.

**206-03 Budget Correspondence Files.** Correspondence files in formally organized budget offices on routine administration, internal procedures, and other matters not covered elsewhere in this schedule.

Disposition: Destroy when 2 years old.

**206-04 Budget Estimates and Justification Files.**

1. Copies of budget estimates and justifications prepared or consolidated for the OSD and offices under the WHS for administrative support. Included are appropriation language sheets, narrative statements, and related schedules and data.

Disposition: Permanent. Retire to the WNRC when 4 years old. Transfer to the National Archives when 20 years old.

2. Working papers and background materials.

Disposition: See Section 206-02 of this schedule.

**206-05 Budget Reports Files.** Periodic reports on the status of appropriation accounts and apportionment.

1. Annual report (end of fiscal year).

Disposition: Destroy 5 years after account merges.

2. All other reports.

Disposition: Destroy 2 years after the close of the fiscal year.

**206-06 Financial Reports.**

Financial reports, recurring and one-time, on financial management.

Disposition: Permanent. Retire to WNRC when 2 years old; transfer to NARA when 20 years old.

**206-07 Budget Apportionment Files.**

Apportionment and reapportionment schedules, proposing quarterly obligations under each authorized appropriation.

Disposition: Destroy 2 years after the close of the fiscal year.

**206-08 Travel and Transportation Records.** This schedule covers records on the movement of goods and persons under Government orders. The recordkeeping involved in the movements centers around bills of lading, transportation requests, vouchers, and associated records. Copies of records used to support payments become part of the accountable officer's accounts, or are accounting posting media.

a. Movement of Goods. The key record is the bill of lading, of which there are copies for cosigners, consignees, and the carriers themselves. The papers related to, and normally filed with, the bill of lading itself are varied and often voluminous. These may consist of shortage and demurrage reports, invoices, and other descriptive data that document hold effects, authorized by law and regulations for civilian employees of the Government. When shipping certain vouchers under the Government Losses in Shipment Act, which insures against loss, retain copies

of schedules of material shipped, papers relating to claims that may ensue, and other pertinent documents.

b. Movement of Persons. The movement of persons is documented essentially by copies of travel orders and standard form vouchers showing payment for official travel. The primary copies of the travel orders are the administrative copy maintained by the transportation unit controlling the issuance of travel orders, and copies used for encumbrance of funds.

1. Freight Files. Records on freight consisting of export certificates, transit certificates, demurrage car record books, shipping documents pertinent to freight classification, memorandum copies of Government or commercial bills of lading, shortage and demurrage reports, and all supporting documents; and including records on the shipment of household goods.

a. Issuing office memorandum copies, other than those identified in 4. below.

Disposition: Destroy when 3 years old.

b. All other copies.

Disposition: Destroy when 1 year old.

c. Registers and control records.

Disposition: Destroy when 3 years old.

d. Records on international shipments of household goods moved by freight forwarders.

Disposition: Destroy 6 years after the period of the account.

2. Lost or Damaged Shipment Files. Schedules of valuables shipped, correspondence, memoranda, reports, and other records on the administration of the Government Losses in Shipment Act.

Disposition: Destroy when 6 years old (GRS 9, Item 3) (reference (p)).

3. Passenger Transportation Files. Memorandum copies of vouchers (SF 1113A), memorandum copies of transportation requests (SF 1169), travel authorizations, transportation request registers, and all supporting papers.

a. Issuing office memorandum copy.

Disposition: Destroy when 3 years old (GRS 9, Item 1) (reference (p)).

b. Obligation copy.

Disposition: Destroy when funds are obligated.

c. Unused ticket redemption forms, such as Standard Form 1170.

Disposition: Destroy when no longer needed for administrative use.

4. Passenger Reimbursement Files. Records on reimbursing individuals, such as travel orders, per diem vouchers, transportation requests, hotel reservations, and all supporting papers documenting official travel by officers, employees, dependents, or others authorized by law to travel.

a. Travel administrative office files.

Disposition: Destroy when 3 years old (GRS 9, Item 3(a) (reference (p))).

b. Obligation copies.

Disposition: Destroy when funds are obligated (GRS 9, Item 3(b) (reference (p))).

5. General Travel and Transportation.

a. Correspondence, forms, and related records on to agency travel and transportation functions, not covered elsewhere in this schedule.

Disposition: Destroy when 2 years old (GRS 9, Item 4(a) (reference (p))).

b. Accountability records.

Disposition: Destroy 1 year after all entries are cleared (GRS 9, Item 4(b) (reference (p))).

**206-09 Accountable Officer's Files.**

1. Original or carbon copy of accounts maintained for site audit by GAO consisting of statements of transaction, statements of accountability, collection schedules, collection vouchers, disbursement schedules, disbursement vouchers, and all other schedules and vouchers.

Disposition: Destroy 6 years, 3 months after period

covered by account (GRS 6, Item 1(a) (reference (p))).

2. Memorandum copies of accountable officers' returns including statements of transactions and accountability, all supporting vouchers, schedules, and related documents not covered elsewhere.

Disposition: Destroy when 1 year old (GRS 6, Item 1(b) (reference (p))).

**206-10 GAO Exception Files.** GAO notices of exceptions, such as Standard Form 1100 never formal, informal, or related correspondence.

Disposition: Destroy 1 year after exception has been cleared by the GAO.

**206-11 Certificates Settlement Files.** Copies of certificates of settlement of accountable officers, statement of differences, and related records.

1. Certificates covering closed account settlements, supplemental settlements, and final balance settlements.

Disposition: Destroy 2 years after settlement (GRS 6, Item 3(a) (reference (p))).

2. Certificates covering periodic settlements.

Disposition: Destroy when subsequent certificate of settlement is received (GRS 6, Item 3(b) (reference (p))).

**206-12 General Fund Files.** Records on availability, collection, custody, and deposit of funds including appropriation warrants and certificates of deposit (SFs 201, 209, and 219), other than those records covered by Item 206-09 of this schedule.

Disposition: Destroy when 3 years old (GRS 6, Item 4) (reference (p))).

**206-13 Accounting Administrative Files** Correspondence, reports and data on voucher preparation, administrative audit, and other accounting and disbursing operations.

1. Files used for workload and personnel management purposes.

Disposition: Destroy when 2 years old (GRS 6, Item 5(a) (reference (p))).

2. All other files.

Disposition: Destroy when 3 years old (GRS 6, Item 5(b) (reference (p))).

**206-14 Federal Personnel Surety Bond Files.**

1. Official copies of the bond and attached powers of attorney.

a. Bonds purchased prior to January 1, 1956.

Disposition: Destroy 15 years after bond becomes inactive (GRS 6, Item 6(a)(1) (reference (p))).

b. Bonds purchased after December 31, 1955.

Disposition: Destroy 15 years after end of bond premium period (GRS 6, Item 6(a)(2) (reference (p))).

c. Other bond files including other copies of bonds and related documents.

Disposition: Destroy when bond becomes inactive or after the end of the bond premium period.

**206-15 Telephone Toll Tickets.** Originals and copies of toll tickets filed in support of telephone toll call payments.

Disposition: Destroy when after GAO audit or when 3 years old, whichever is sooner (GRS 6, Item 8) (reference (p))).

**206-16 Expenditure Accounting General Correspondence and Subject Files.** Correspondence or subject files maintained by operating units responsible for expenditures accounting pertaining to their internal operations and administration.

Disposition: Destroy when 2 years old.

**206-17 General Accounting Ledgers.** General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary.

Disposition: Destroy 6 years and 3 months after the close of the fiscal year involved.

**206-18 Appropriation Allotment Files.** Allotment records showing status of obligations and allotments under each

authorized appropriation.

Disposition: Destroy 6 years and 3 months after the close of the fiscal year involved.

**206-19 Expenditure Accounting Posting and Control Files.**  
Records used as posting and control media, subsidiary to the general and allotment ledgers, and not elsewhere covered in this schedule.

1. Original records.

Disposition: Destroy when 3 years old.

2. Copies.

Disposition: Destroy when 2 years old.

**207 Pay Files**

**207-01 Individual earning and service cards** (Such as Standard Form 1127 or its equivalent.)

Disposition: Transfer to National Personnel Records Center (NPRC), St. Louis, Mo. a. If in personnel folder or in individual pay folder filed adjacent to personnel folder, dispose of with the personnel folder. b. If not in or filed adjacent to personnel folder, dispose of 56 years after date of last entry on card.

**207-02 Correspondence files** maintained by operating units responsible for payroll preparation and processing, pertaining to administration and operation of the units.

Disposition: Destroy after 2 years (GRS 2, Item 2) (reference (p)).

**207-03 Time and attendance reports.**

1. Copies used in payroll preparation and processing. (Where reports are used for both time and attendance and leave posting purposes, the disposal provision for Section 207-09 applies.)

Disposition: Destroy after audit by the GAO or after 6 years, whichever is earlier (GRS 2, Item 3(a)(1) (reference (p))).

2. All others.



Disposition: Destroy 6 months after end of pay period (GRS 2, Item 3(a)(2)) (reference (p)).

**207-04 Individual authorization card and payroll allotments** (such as Standard Form 1192).

1. Where record of bond deductions is maintained on earning record card.

Disposition: Destroy when superseded or after separation of employee. If employee transfers within an agency, these authorizations must also be transferred. See Treasury Fiscal requirement Manual, para. 6020.20e for instructions relating to savings bond authorizations, and FPM Chapter 550, Subchapter 3, Part 8, for instructions on the Combined Federal Campaign (CFC) authorizations (GRS 2, Item 4(a)(1)) (reference (p)).

2. Where record of bond deductions is not maintained elsewhere.

Disposition: Destroy 3 years after supersession or 3 years after separation of employee. See 1., above, for transfer instructions (GRS 2, Item 4(a)(2)) (reference (p)).

**207-05 Issuing agents' copies of bond deductions** is not maintained elsewhere.

Disposition: Destroy after 2 years (GRS 2, Item 5) (reference (p)).

**207-06 Receipts for and transmittals of U.S. Savings Bonds and checks.**

Disposition: Destroy 3 months after date of receipt (GRS 2, Item 6) (reference (p)).

**207-07 Reports of deposits and purchase of bonds, and related papers.**

Disposition: Destroy after 3 years (GRS 2, Item 7) (reference (p)).

**207-08 Application for leave and supporting papers.**

1. Application for leave taken immediately prior to separation.

Disposition: Attach to leave record card (see Section 207-09). If in personnel folder or in individual pay folder filed adjacent to personnel folder, dispose of either 10 years after date of last entry on card or with the personnel folder. If not in or filed adjacent to personnel folder, dispose of 10

years after date of last entry on card.

2. All others.

a. If the time card has been approved by the employee.

Disposition: Dispose of at the end of the applicable pay period (GRS 2, Item 8(a) (reference (p))).

b. If the time card has not been initialed by the employee.

Disposition: Destroy after the GAO audit or when 3 years old, whichever is sooner (GRS 2, Item 8(b) (reference (p))).

**207-09 Leave record cards**, maintained independently of pay and earning records (including Standard Form 1130 when used as a leave record).

1. Pay or fiscal copy.

a. Final individual card showing accumulated leave on separation.

Disposition: Transfer to the National Personnel Records Center (NPRC), St. Louis, Mo, after audit by GAO or after 3 years, whichever is earlier. The NPRC will destroy when 10 years old.

b. All other pay or fiscal copies.

Disposition: Destroy when 3 years old (GRS 2, Item 9(a) (reference (p))).

2. Other copies.

Disposition: Dispose of 3 months after the end of the period covered (GRS 2, Item 9(b) (reference (p))).

**207-10 Records of leave data** (such as Standard Form 1150) except as noted in the Federal Personnel Manual, 293-A-3.

1. File original of Standard Form 1150 on right side of OPF.

Disposition: Transfer folders of separated personnel to Federal Personnel Records Center, St. Louis, Mo., 30 days after separation (GRS 2, Item 10(a) -- See GRS 1, Item 1) (reference

(p)).

2. Agency Copy.

Disposition: Dispose of after 3 years (GRS 2, Item 10(b) (reference (p))).

3. Donated Leave Program Case Files.

Disposition: Destroy one year after the end of the year in which the file is closed (GRS 1, Item 37) (reference (p)).

**207-11 Notifications of personnel action**, exclusive of those in OPF.

1. Pay or fiscal copy.

Disposition: Destroy after audit of related pay records by the GAO or after 3 years, whichever is earlier (GRS 2, Item 11) (reference (p)).

2. Chronological file copies, including fact sheets.

Disposition: Destroy after 2 years.

3. All other copies.

Disposition: Destroy after 1 year.

**207-12 Copies of budget authorizations** to operating units that control personnel ceilings and personnel actions.

Disposition: Destroy when superseded (GRS 2, Item 12) (reference (p)).

**207-13 Memorandum copies** of payrolls, check lists, and related certification sheets (such as Standard Forms 1013, 1128, or equivalents).

1. Security copies of documents prepared or used for disbursement by Treasury disbursing offices, and related papers.

Disposition: Destroy when the FRC receives second subsequent payroll or check list covering same payroll unit (GRS 2, Item 13(a) (reference (p))).

2. All other copies.

a. Where earning record is maintained.

Disposition: Destroy after audit by GAO or after 3 years, whichever is earlier (GRS 2, Item 13(b)(1) (reference (p))).

b. Where earning record card is not maintained.

Disposition: Transfer to National Personnel Records Center, St. Louis, Mo., when 3 years old (GRS 2, Item 13(b)(2) (reference (p))).

**207-14 Payroll control registers.**

Disposition: Destroy after audit of related pay records by the GAO or after 3 years, whichever is earlier (GRS 2, Item 14) (reference (p)).

**207-15 Payroll change slips** exclusive of those in Official Personal Folder (OPF) (such as Standard Form 1126).

1. Copy used in GAO audit.

Disposition: Destroy after audit of related pay records by the General Accounting Office or after 3 years, whichever is earlier (GRS 2, Item 15(a) (reference (p))).

2. Copy used by disbursing officer preparing checks.

Disposition: Destroy after preparation of check (GRS 2, Item 15(b) (reference (p))).

3. All other copies.

Disposition: Destroy 1 month after end of pay period (GRS 2, Item 15(c) (reference (p))).

**207-16 Memorandum copies of fiscal schedules** involved in payroll processing.

1. Copy used in GAO audit.

Disposition: Destroy after audit by GAO after 3 years, whichever is earlier (GRS 2, Item 16(a) (reference (p))).

2. All other copies.

Disposition: Dispose of 1 month after end of pay period (GRS 2, Item 16(b) (reference (p))).

**207-17 Administrative reports** and data relating to payroll operations and pay administration.

1. Reports and data used for workload and personnel management purposes.

Disposition: Destroy after 2 years (GRS 2, Item 17(a) (reference (p))).

2. All other reports and data.

Disposition: Destroy after 3 years (GRS 2, Item 17(b) (reference (p))).

**207-18 Withholding tax exemption certificates** (such as Treasury Department Form W-4).

Disposition: Destroy 4 years after card is superseded or obsolete (GRS 2, Item 18(a) (reference (p))).

**207-19 Returns on income taxes** (such as Treasury Department Form W-2).

Disposition: Destroy when 4 years old (GRS 2, Item 18(b) (reference (p))).

**207-20 Reports of withheld Federal taxes** and related papers (including records on income and social security taxes).

Disposition: Destroy when 4 years old (GRS 2, Item 18(c) (reference (p))).

**207-21 Retirement reports and registers.**

Disposition: Destroy after 3 years (GRS 2, Item 19(a) (reference (p))).

**207-22 Reports of insurance deductions** and related papers including copies of vouchers and schedules of payment.

Disposition: Destroy after 3 years (GRS 2, Item 20) (reference (p))).

**207-23 Levy and garnishment records**, including official notice of levy or garnishment, change slips, workpapers and correspondence relating to charges against retirement funds or attachment of salary for payment of back income taxes or for other debts of Federal employees.

Disposition: Destroy after 3 years (GRS 2, Item 21) (reference (p))).

**207-24 Department of Defense Dependents Schools (DoDDS) Erroneous Overpayments Files (N1-330-90-2).** Documents on erroneous overpayments of earnings and benefits to DoDDS overseas civilian employees. These include excess payments of salaries, health benefits, annual sick leave reimbursements, foreign-post differentials, living allowances, and Cost of Living Adjustment

(COLA) adjustments. Paperwork contained in individual files consists of notifications of overpayment to the individual stating the amount of indebtedness to the Government; copies of personnel action notices; vouchers; payment listings; and audit worksheets. Also included are letters from individuals requesting waiver from the indebtedness; DoDDS investigation reports and preliminary decisions; correspondence forwarding claims to the Director, Administration & Management, OSD; and copies of the final decisions rendered by the Comptroller General of the U. S.

Disposition: Destroy 5 years after case is closed.

## **208 Supply and Services**

**208-01 Procurement files** (as described in item 208-04 below) involving transactions of \$25,000 or more and documenting the initiation and development of transactions that deviate from established precedents on general agency procurements or to major procurement programs (other than those covered by item 208-13).

Disposition: Permanent. Retire to the WNRC when 5 years old.

**208-02 Title papers** documenting the acquisitions of real property (by purchase, condemnation, donation, exchange, or otherwise).

1. All records for property acquired other than abstract or certificate of title.

Disposition: Title papers, dated 1921 and after. Destroy 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens (GRS 3, Item 1(a) (reference (p))).

2. Papers for property acquired before January 1, 1921.

Disposition: Title papers preceding 1921. Permanent. Transfer to the National Archives 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens.

3. Abstract or certificate of title.

Disposition: Transfer to purchaser after unconditional sale or release by the Government (GRS 3, Item 1(b) (reference (p))).

**208-03 Correspondence files of procurement operating units on their internal operation and administration that are not covered elsewhere in this schedule.**

**Disposition:** Destroy after 2 years (GRS 3, Item 2) (reference (p)).

**208-04 Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers on award, administration, receipt, inspection, and payment (other than those covered in items 208-01, 02, and 13).**

1. Procurement or purchase organization copy, and related papers.

a. Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.

**Disposition:** Destroy 6 years and 3 months after final payment. (Place in inactive file on final payment; retire fiscal year block to Federal Records Center after 2 years.) (GRS 3, Item 3(a)(1) (reference (p))).

b. Transactions of \$25,000 or less and construction contracts under \$2,000.

**Disposition:** Destroy 3 years and 6 months after final payment. (Close file at the end of each fiscal year, retain 3 years and dispose of, except those files on which actions are pending will be brought forward to the next fiscal year's files for disposal therewith) (GRS 3, Item 3(a)(2) (reference (p))).

2. Obligation copy.

**Disposition:** Destroy when funds are obligated (GRS 3, Item 3(b) (reference (p))).

3. Copies of contracts, requisitions, purchase orders, leases, and other papers which are duplicates of papers defined in item 208-04.1, used by component elements of a procurement office for administrative purposes.

**Disposition:** Destroy upon termination or completion (GRS 3, Item 3(c) (reference (p))).

**208-05 Files of reports on supply requirements and procurement matters submitted for supply management purposes. Case files (or other files of a general nature), exclusive of DoD reports reflecting procurement under exemptions authorized by Section 201(a) of the Federal Property and Administrative Services Act of 1949 (40 U.S.C. 481) (GRS 3 (reference (p))).**

1. Copies received from other units for internal purposes or for transmission to staff agencies.

Disposition: Destroy after 2 years (GRS 3, Item 4(a) (reference (p))).

2. Copies in other reporting units, and related work papers.

Disposition: Destroy after 1 year (GRS 3, Item 4(b) (reference (p))).

**208-06 Bid Files.**

1. Successful bids.

Disposition: Destroy in accordance with item 208-04 (GRS 3, Item 5(a) (reference (p))).

2. Unsuccessful bids.

Disposition: Destroy in accordance with item 208-04 (GRS 3, Item 5(b) (reference (p))).

3. Lists or cards of acceptable bidders.

Disposition: Destroy when new list or card is made (GRS 3, Item 5(d) (reference (p))).

**208-07 Records on requisitioning on the Public Printer, and all supporting papers.**

1. Printing procurement unit copy of requisitions, invoices, specifications, and related papers.

Disposition: Destroy 3 years after completion or cancellation of requisition (GRS 3, Item (b)(a) (reference (p))).

2. Accounting copy of requisitions.

Disposition: Destroy 3 years after period covered by related account (GRS 3, Item 4(b) (reference (p))).

**208-08 Requisitions for nonpersonal services, such as duplicating, binding, and other services (excluding records associated with accountable officer's accounts).**

Disposition: Destroy after 1 year (GRS 3, Item 7) (reference (p))).



**208-09 Requisitions for supplies and equipment** from current inventory.

1. Stockroom copy.

**Disposition:** Destroy 2 years after completion or cancellation of requisition (GRS 3, Item 8(a) (reference (p))).

2. All other copies.

**Disposition:** Destroy after 6 months (GRS 3, Item 8(b) (reference (p))).

**208-10 Inventory Files.**

1. Inventory lists.

**Disposition:** Destroy 2 years from date of list (GRS 3, Item 9(a) (reference (p))).

2. Inventory cards.

**Disposition:** Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification of inventory records, or 2 years after equipment is removed from agency control (GRS 3, Item 9(b) (reference (p))).

3. Report of survey files and other papers used as evidence for adjustment of inventory records, not otherwise covered in the General Records Schedules.

**Disposition:** Destroy 2 years after period covered by related account (GRS 3, Item 9(c) (reference (p))).

**208-11 Telephone statements and toll slips.**

**Disposition:** Destroy 3 years after period covered by related account (GRS 3, Item 10) (reference (p))).

**208-12 Contractors' payrolls** (Construction contracts) submitted in accordance with Department of Labor regulations, with related certifications, anti kickback affidavits, and other related papers.

**Disposition:** Destroy 3 years after period covered by related account unless contract performance is subject of enforcement action on such date (GRS 3, Item 11) (reference (p))).

**208-13 Tax exemption certificates and related papers.**

Disposition: Destroy 3 years after period covered by related account (GRS 3, Item 12) (reference (p)).

**208-14 Disposal of Surplus Property**

1. Case files on sales of surplus personal property and real property comprising invitations, bids, acceptances, lists of material, evidence of sales and related papers involving transactions and other papers which document the initiation and development of transactions that deviate from established precedents with respect to major disposal programs.

Disposition: a. Retire record copies including related material 3 years after file cutoff for permanent preservation.  
b. Destroy duplicate and nonrecord material when file is cut off. c. Case files not covered by 1.a. apply dispositions schedule of 208-14.3.

2. Case files on disposal of surplus real and related personal property (as described in 1).

Disposition: a. Retire record copies including related material 3 years after file cutoff for permanent preservation.  
b. Destroy duplicate and nonrecord material when file is cut off.

3. Case files on sales of surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in 1 and 2).

a. Transactions of more than \$25,000.

Disposition: Destroy 6 years after final payment. (Place in inactive file on final payment and retire to the WNRC 2 years thereafter) (GRS 4, Item 3(a) (reference (p))).

b. Transactions of less than \$25,000.

Disposition: Destroy 3 years after final payment. (Close file at the end of each fiscal year, retain 3 years, and dispose of, except that files on which actions are pending will be brought to the next fiscal year's files disposal therewith) (GRS 4, Item 3(b) (reference (p))).

### **208-15 Inventories of Supplies and Equipment**

1. Stockroom copy of inventory lists.

Disposition: Destroy 2 years from date of list (GRS 3, Item 9(a) (reference (p))).

2. Stockroom inventory cards.

Disposition: Destroy 2 years after discontinuance of item or 2 years after stock balance is transferred to new card or recorded under a new classification, or 2 years after equipment is removed from agency control (GRS 3, Item 9(b) (reference (p))).

3. Card file of office equipment.

Disposition: Destroy individual item cards 2 years after equipment is transferred from the OSD.

**208-16 Building and Equipment Service Files.** Requests for building and equipment maintenance services, excluding fiscal copies.

Disposition: Destroy 3 months after work is performed or requisition canceled (GRS 11, Item 5) (reference (p))).

### **209 Classified Information Accounting and Control Records**

Records accumulating from measures taken by agencies to protect classified information from unauthorized disclosure in accordance with the EO 12356 (reference (q)), other Executive Orders or statutory or regulatory requirements, and DoD Regulation 5200.1-R (reference (h))).

**209-01 Correspondence files** on the administration of security classifications, control, and accounting for classified documents not covered elsewhere in this schedule.

Disposition: Destroy when 2 years old (GRS 18, Item 1) (reference (p))).

**209-02 Classified document receipts,** on the receipt and issue of classified documents.

Disposition: Destroy when 2 years old (GRS 18, Item 2) (reference (p))).

**209-03 Classified document destruction certificates** on the destruction of classified documents.

Disposition: Destroy when 2 years old (GRS 18, Item 3) (reference (p))).

**209-04 Classified document inventory files**, consisting of forms, ledgers, or registers used to show identity, internal routing, and final disposition made of classified documents, but exclusive of classified document receipts and destruction certificates and documents on Top Secret material covered elsewhere in this schedule.

Disposition: Destroy when 2 years old (GRS 18, Item 4) (reference (p)).

**209-05 Top Secret Document Accounting and Control Files**

1. Registers maintained at control points to indicate accountability over Top Secret documents, reflecting the receipt, dispatch, or destruction of the documents.

Disposition: Destroy 5 years after documents shown on forms are downgraded, transferred, or destroyed (GRS 18, Item 5(a) (reference (p))).

2. Forms accompanying documents to ensure continuing control, showing names of persons handling the documents, intra-office routing, and comparable data.

Disposition: Destroy when related documents are downgraded, transferred, or destroyed (GRS 18, Item 5(b) (reference (p))).

**209-06 Access request files** consisting of requests and authorizations for individuals to have access to classified files.

Disposition: Destroy 2 years after authorization expires. (GRS 18, Item 6) (reference (p)).

**209-07 Classified document container security files** consisting of forms or lists used to record safe and padlock combinations, and comparable data used to control access into classified document containers.

Disposition: Destroy when superseded by a new form or list, or upon turn-in of containers (GRS 18, Item, 7) (reference (p))).

**209-08 Security Violations Files** These are case files relating to violations of Executive Orders, laws, or agency regulations for the safeguarding of national security information, exclusive of documents placed in official personnel folders. Not to be confused with Defense Investigative Program Records (see 210-01.1a-c).

Disposition: a. Files relating to alleged violations of a sufficiently serious nature that they are referred to the Department of Justice or Defense for prosecutive determination, exclusive of files held by DOJ or Defense offices responsible for making such determinations: Destroy 5 years after close of case.  
b. All other files, exclusive of documents placed in official personnel folders: Destroy 2 years after completion of final action or when no longer needed, whichever is sooner (GRS 18, Item 24) (reference (p)).

**210 Defense Investigative Program Records (NC1-330-76-1)** The Defense Investigative Program includes those investigative and related counter-intelligence activities undertaken to safeguard DoD information, personnel, functions, and installations. This request for authority to dispose of records is applicable to all DoD Components that engage in, or maintain investigative records of Defense Investigative Program activities.

**210-01 Defense Investigative Case Files.** Includes personnel security data on members of the Armed Forces, DoD civilian employees, and contractor employees under the Defense Industrial Security Program; data on activities threatening the security or involving the disruption or subversion of DoD military and civilian personnel, functions, activities, installations, information, communications, equipment and supplies; data on investigative activities within the United States, the District of Columbia, the Commonwealth of Puerto Rico, and United States Territories and possessions.

1. Files Relating to DoD Civilians and/or Military Members. Disposable. Retention periods for investigative records shall be as follows:

a. Routine Investigations. Personnel security investigations of a favorable nature and other investigations of a minor nature.

Disposition: Destroy 15 years after completion date of the last investigative action for that file. Personnel security files on persons who are considered for affiliation with the DoD will be destroyed after 1 year if the affiliation is not completed.

b. Significant Incidents of Adverse Actions. Personnel security investigations resulting in an adverse personnel action or court-martial, or other investigation required for long term administrative or legal use.

Disposition: Destroy 25 years after the date of the last action. Those files determined to be of possible historical value and those of widespread public or congressional interest may be retired to the National Archives after 15 years.

c. Major Investigations. Investigations of espionage and sabotage, or other major investigations of a counterintelligence and a security nature.

Disposition: Permanent. Transfer to the National Archives within 25 years after the date of the last action.

2. Files On non-DoD Affiliated U.S. Citizen and Organizations.

a. Activities or events posing one of the following types of continuing threats to DoD military and civilian personnel and Defense activities and installations: Demonstrated hostility - activities in which an actual example of violent or criminal hostility has been carried out within the previous year; threatened hostility - activities that during the previous year have explicitly threatened DoD installations providing a significant potential source of harm or disruption of the installation of its function; dissidence activities - activities during the previous year that have involved actively encouraging violation of the law, disobedience of lawful order or regulation, or disruption of military activities.

(1) Information that falls in the above categories that is originated by, and received or acquired from, agencies outside the Department of Defense.

Disposition: Destroy not later than 1 year after acquisition unless validated for retention for another year when it is determined during the annual verification review by the Secretaries of the Military Departments that a continued threat exists.

(2) Files or other documents created within the DoD that contain significant analytical comments, value judgments, or recommendations on information received or acquired from agencies outside the Department of Defense.

Disposition: Retained for a period not in excess of 1 year after acquisition, unless validated on an annual basis for continued retention. When DoD-originated information is not validated for continued retention, these files will be transferred to the National Archives for a determination of their historical value.

b. Activities or events not posing a continuing threat. Information originated by, and received or acquired from, agencies outside the Department of Defense during the course or routine investigative or liaison activity which after

receipt is subsequently determined to fall outside the area of interest of the DoD personnel, property or functions and no DoD file is created or DoD information generated.

Disposition: Destroy immediately after an evaluation determines a threat does not exist or not later than 90 days following acquisition.

c. Special Investigation and Operations. Files or other documentation originated by DoD Components pertaining to those activities of non-DoD affiliated organizations and individuals that potentially or actually threatened DoD functions, property or personnel, and files or other documentation on Defense Investigative Review Council (DIRC)-approved measures to quell or counter these activities.

Disposition: Permanent. Transfer to the National Archives within 25 years after the date of the last action.

d. Organizations and Individuals Servicing the DoD Installations. Investigative information on organizations and individuals providing commercial services, engaged in contracts, or otherwise engaged in business enterprises on DoD installations.

Disposition: Destroy 1 year after the service is discontinued unless the contract is in dispute, in which event the file will be destroyed 1 year after final payment of the other settlement of the obligation.

e. Requests for DoD personnel to attend or officiate at meetings, ceremonies, etc., as representatives of the DoD. Information on the organization and individual making the request, the nature of the event, and any other details describing the occasion.

Disposition: Destroy not later than 1 year after the event.

f. One-time requests for admittance to installations (speakers, bands, drill teams, tours, etc.). Information concerning the organization and individual requesting admittance to the installation.

Disposition: Destroy not later than 1 year after the event.

g. Inquiries from members of the public to the DoD for information on DoD functions or units, unit insignia, signatures or photos of senior commanders, etc. Information concerning the collectors of such items.

Disposition: Destroy after 1 year or when no longer determined pertinent by annual review.

h. Unsubstantiated reports to the DoD Components from members of the public alleging imminent invasions, plots, and similar events of a delusional nature, and assorted "crank" letters. Information concerning the organization/individual providing such details.

Disposition: Destroy after 1 year or when no longer determined pertinent by annual review.

i. Information collected on non-DoD affiliated civilians incident to the personnel security investigation of an affiliated member.

Disposition: Destroy after 1 year or when no longer determined pertinent by an annual review.

**210-02 Civil Disturbance Files.** (NC1-330-76-1) The Attorney General is the chief civilian officer in charge of coordinating all Federal Government activities relating to civil disturbances. Upon specific prior authorization of the Secretary of Defense or designee, information may be acquired that is essential to meet operational requirements stemming from the mission assigned to the Department of Defense to assist civil authorities in dealing with civil disturbances. Such authorizations will only be granted when there is a distinct threat of civil disturbance exceeding the law enforcement capabilities of State and local authorities. Information collected in these circumstances will be disposed of as follows:

1. Open source listing of Federal, State, and local officials who have official responsibilities on control of civil disturbances obtained before to commitment of Federal troops and routinely maintained for planning purposes.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

2. Open source physical data on vital public or private installations, facilities, highways, and utilities, which may be necessary to carry out missions assigned, are obtained before to commitment of Federal troops and routinely maintained for planning purposes.

Disposition: Destroy when superseded obsolete, or no longer needed.

3. Data that pertains to early warnings of incidents, potential threats, and situation estimates that are obtained from Federal, State, or local investigative or law enforcement



agencies (that is duplicative of files maintained by the originating agency) before commitment of Federal troops and subjected to evaluation to determine pertinency with no DoD file being created or no DoD information generated.

Disposition: Destroy 60 days after termination of the specific situation of incident.

4. Data collected or developed by the DoD Components during a period when field acquisition, reporting, or processing activities have been specifically authorized by the Secretary of Defense. This data includes unconfirmed, fragmentary, routine, or transitory material not included as background data in item 5., below.

Disposition: Destroy within 60 days after the termination of the civil disturbance.

5. Documents prepared by Military Department staffs, agency headquarters, or task force elements that are responsible for directing the activities of field units that are engaged in quelling a civil disturbance, including background data, after-action reports and historical summaries. Such after-action reports and historical summaries will avoid to the greatest extent possible references to non-affiliated persons and organizations.

Disposition: Permanent. Transfer to the National Archives within 25 years after the situation or event terminates.

**211 Nonappropriated Funds (NC1-330-77-4).** Financial records on the operation of nonappropriated fund activities. Refer to **204-06** concerning the Concession Operations Files. For DoD Nonappropriated Fund Employee Personnel Records see 217.

**211-01 Collection Records.**

1. Cash collection receipts.

Disposition: Destroy after 3 years.

2. Receipt books and duplicate receipts.

Disposition: Destroy after 2 years.

3. Accounts control cards. These reflect concession incomes.

Disposition: Destroy 1 year after contract terminated provided account is cleared.

**211-02 Disbursements**

1. Checks, separate accounts payable vouchers with supporting purchase orders, receiving report invoices, petty cash vouchers, etc.

Disposition: Destroy when 4 years old.

2. Checks in payment of proceeds of loans or other receivables.

Disposition: Destroy when loans or receivables are closed.

**211-03 Concessionaires**

1. Case files containing approved applications, agreements, financial statements, certificates of insurance, data on equipment, etc.

Disposition: Destroy 4 years after termination or cancellation of the agreement.

2. Letters of complaint, notices of noncompliance with the agreement, reports of contract violations, etc.

Disposition: Destroy 1 year after termination or cancellation of the agreement.

**211-04 General Accounting Ledgers.** Ledgers showing debit and credit entries and reflecting expenditures in summary.

Disposition: Destroy 10 years after the close of the fiscal year involved.

**212 Office of the Secretary of Defense**

1. Records of the OSD, the Deputy Secretary of Defense, the Under Secretaries of Defense, and the Assistant Secretaries of Defense that:

a. Issue policy, prescribe procedures or effect organizational structures;

b. Provide executive direction or document major functions;

c. Pertain to relations with the White House, Executive Office of the President, Congress or the public;

- d. Pertain to foreign affairs;
- e. Prescribe budget policy;
- f. Pertain to litigations and formal legal opinions;
- g. Pertain to major programs and plans.

Disposition: Permanent. Cut off annually and retire to the WNRC. Transfer to the National Archives when 30 years old. The OSD will reconsider periodically whether or not the offer date can be lowered.

2. Records of the immediate Office of the Secretary of Defense, Deputy Secretary of Defense, Under Secretaries of Defense, and Assistant Secretaries of Defense of a routine, nonpolicy nature with no permanent value or historical significance.

Disposition: Cut off annually and retire to the WNRC. Destroy when 7 years old.

3. Files of personnel evaluated for non-career employment in the DoD. (Pending approval.) These files consist of referral letters, resumes, SFs 171, position descriptions, White House clearance letters, OPM certifications, and other correspondence relating to the selection and appointment of political appointees. They contained information protected under the Privacy Act of 1974 (DATSD 03) and are not to be confused with the vetting files maintained by the DoD General Counsel under file series 406.

Disposition: Destroy at the end of the presidential administration during which the individual is hired, or when no longer needed, whichever is sooner, except that in lieu of destruction, certain pertinent documents may be offered to OSD Personnel & Security for inclusion in the individual's Official Personnel Folder.

### **213 Directives Division Files**

Directives Division files consisting of DoD Directives, DoD Instructions, DoD publications, and amendments thereto, and other policy issuances under the DoD Directive System, and supporting documentation, such as coordination and reference documents.

Disposition: Permanent. Retire to the WNRC when superseded or microfiched. Transfer to the National Archives when 30 years old. The OSD will reconsider periodically whether or not the offer date can be lowered.

## **214 Information Operations and Reports Files**

**214-01 Combat and Non-combat Casualty NC1-330-78-8.** File (NB) 111). An ADP file listing the number of U.S. military casualties, combat, noncombat, missing, captured, or dead.

**Disposition:** a. ADP File. Permanent. Prepare the full data file as of September 30 of each year and transfer to the National Archives on magnetic tape within 45 days (November 15) along with adequate documentation to read and understand the file and a properly completed NA Form 14097, "Technical Description For Transfer of Electronic Records to the National Archives" (to be completed by Directorate for Information Operations and Reports (DIOR), WHS). b. Hard copy of reports. Permanent. Retire to the WNRC when no longer required for reference.

**214-02 Defense Contract Action Data System (DCADS).** (NC1-330-78-12) ADP file containing data on prime contract actions reported on DD Forms 350 over \$10,000 for FY 1966 through FY 1982, and actions over \$25,000 for subsequent fiscal years. Summary data on actions of \$25,000 or less reported on DD Forms 1057 from FY 1984 on are included.

1. Magnetic tape master.

**Disposition:** Permanent. Transfer to the National Archives when no longer required.

2. Hard copy output.

**Disposition:** Finished reports are permanent. Transfer to NARA when no longer required for reference. Other output may be destroyed when no longer needed for reference.

**214-03 Source Data for Defense Contract Action Data System (DCADS).** (NC1-330-81-2)

1. DD Form 2139 contains essential data on prime contracts awarded by the DoD over \$25,000. It lists contract of subcontractor, place of performance and purpose of contract.

**Disposition:** Convert DD Form 2139 to microfiche and:  
a. Destroy hard copy after ascertaining that the reproduced copies have been made in accordance with GSA regulations and are adequate substitutes for the paper records. b. Destroy the microfiche when 6 years old.

#### **214-04 Forms Management Control Files.**

1. Record copy of each form created with related instructions and documentation showing inception, scope, and purpose of the form.

Disposition: Destroy 5 years after related form is discontinued, superseded, or cancelled (GRS 16, Item 3) (reference (p)).

2. Background materials, requisitions, specifications, processing data, and control records.

Disposition: Destroy when related form is discontinued, superseded, or canceled.

#### **214-05 Reports Control Files.**

Case files maintained for each report created or proposed, including public use reports. Included are clearance forms, including SF 83; copies of pertinent forms or descriptions of format; copies of authorizing directives; preparation instructions; and documents relating to the evaluation, continuation, revision, and discontinuance of reporting requirements.

Disposition: Destroy 2 years after the report is discontinued (GRS 16, Item 6) (reference (p)).

#### **215 (Reserved).**

#### **216 Federal Voting**

1. Documents prescribing the DoD policy in support of voting and establishing procedures.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

2. Promotional material, posters, newscasts, press releases.

Disposition: Permanent. Retire to the WNRC when 3 years old.

3. Evaluation or procedures. Participation support reports from Military Departments.

Disposition: Permanent. Retire to the WNRC when 3 years old.

**217 DEFENSE PROTECTIVE SERVICE**

These are files that document police operations at Defense Protective Service offices. These are operational files and their use does not prevent the use of any other administrative, logistical, fiscal, or personnel file authorized elsewhere in this instruction (N1-330-88-2).

**217-01 Staff Inspection Records.** Records of staff, general, spot, special inspections, and guard contracts.

**Disposition:** Cut off annually, destroy after 2 years.

**217-02 Line Inspection Records.** Line and quarterly line inspections and completed checklists.

**Disposition:** Cut off annually, destroy after 1 year.

**217-03 Field Office Inspections.** Documents prepared by the staff inspector from surveys, inspections, or evaluations of DPS operations to promote coordination, detect problems, ensure compliance with operating procedures, policies, schedules, and orders. Included are the staff inspector's reports, area commanders' replies, and related reports. Inspection reports on contracts are excluded from this file.

**Disposition:** Cut off after completion of inspection; destroy after 2 years.

**217-04 Safety Agreement Files.** Documents on accident and fire prevention, disaster control, or civil defense. Included are proposals, coordination actions, copies of agreements, and related records.

**Disposition:** Cut off when superseded or terminated; destroy after 2 years.

**217-05 Safety Meetings Files.** Documents on accident and fire prevention meetings, protection meetings, or comparable group meetings.

**Disposition:** Cut off annually, destroy after 1 year.

**217-06 Safety, Occupational Health, and Fire Prevention council files.** Documents reflecting deliberations and activities of field office councils on safety, occupational health, and fire prevention. Included are listings of members, agenda, minutes, copies of program documents of schedules and related records.

Disposition: Cut off annually, destroy after 2 years.

**217-07 Fire Report Files.** Documents concerning fires on DoD-owned or leased premises, or other property for which the Department of Defense is accountable. Included are fire reports, investigative reports, ad hoc committee investigations of serious fires, and related records.

Disposition: Cut off annually, destroy after 3 years.

**217-08 Accident and Fire Prevention** promotion files. Documents resulting from efforts to stimulate supervisory and employee interest in accident and fire prevention. Included are charts, and other materials used in publicizing safety achievements and special events.

Disposition: Cut off annually, destroy after 2 years.

**217-09 Disaster and Civil Defense Status Report Files.** Reports and records showing the self-protection, shelter, stocking, radiological training, and preparedness of government buildings against enemy attack, natural disaster, and other emergencies.

Disposition: Cut off annually, destroy after 5 years.

**217-10 Security Log Files.** Logs kept when recorder tapes are changed, when used to record radio transmissions; records recording opening and closing of secured cabinets and safes; log books containing alarm system codes for various buildings; and tapes maintained to provide a record of alarms and authorized entry into buildings after duty hours.

Disposition: a. Recording tape logs of radio transmissions: Cut off after 30 days, extract information needed for further reference, re-record, and destroy when no longer needed. b. All other logs: Cut off annually, destroy after 2 years.

**217-11 Physical Security Surveys.** Documents on the physical security hazards or deficiencies and recommendations for remedial action. Included are: survey reports, facility and occupant data, threats, and findings and recommendations.

Disposition: Destroy when superseded or obsolete.

**217-12 Federal Radio Frequency Management Program.** Documents on the policies, rules, and regulations governing the allocation of radio frequencies. These consist of the following files:

1. Frequency Assignment Subcommittee (FAS). Included

are applications for frequency assignments, modifications, corrections, and the 5-year review; regional requests for action; regional frequency authorizations; government master file; and administrative agenda and minutes.

2. Interdepartment Radio Advisory Committee. Included are National Telecommunications and Information Administration Manual and the weekly agenda and summary of minutes.

Disposition: Destroy when superseded or obsolete.

**217-13 Telecommunications Program.** These records consist of the following files:

1. Control Center. Documents on the design, installation, and maintenance of telecommunications equipment used in the zone, district, and regional control center.

2. National Crime and Information Center (NCIC). Documents such as the NCIC Operating Manual, Code Manual, Update, and Newsletter; control terminal officer assignments; and originating agency identifier applications.

3. National Law Enforcement Telecommunications Systems (NLETS). Documents such as the NLETS Operating Manual, Code Manual, Update, and Newsletter.

Disposition: Destroy when superseded or obsolete.

**217-14 Occupant Letters Files.** Letters from occupants of DoD or leased space that has a DPS protection and safety response. They contain correspondence on safety systems, crime, protection, parking, and related records.

Disposition: Cut off annually, destroy after 1 year.

**217-15 Firearm and Badge Record Files.** Card files of employees issued firearms and badges. This file is organized by employee name and serial number of equipment.

Disposition: Name: Destroy when employee leaves position and equipment is turned in. Serial Number: Update card as equipment is reassigned.

**217-16 Assignment Record Files.** Documents reflecting tour of duty schedule, days off, and post assignments for DPOs and contract guards. Records include forms recording hours of duty schedule and related documents.



Disposition: Cut off annually, destroy after 3 years.

**217-17 Special Operating Procedures Files.** Staff and supervisory Defense Protective Service Officers may issue their rules and regulations to Defense Protective Officers (DPOs) for guidance during the performance of individual duties.

Disposition: Destroy when superseded or obsolete.

**217-18 Flag Records.** Documents on regulations, proclamations and notices to fly the flag at half staff. Included are requests on the notification list, proclamations, and related records.

Disposition: Cut off annually, destroy after 1 year.

**217-19 Record of Time of Arrival and Departure.** Documents reflecting entry and exit from buildings (during security hours) files. Register used to record the time of arrival, departure, destination of personnel packages, visitors and vehicles entering or leaving premises. Included are forms recording times of arrivals and departures; these forms are also used by supervisory DPOs when conducting inspection. Forms used by contract guards should be filed under 217-26, Contract Guard Records.

Disposition: Cut off annually, destroy after 4 years.

**217-20 Lost and Found Property Files.** Documents on the reporting, receiving, accounting for and disposing of lost and found property.

Disposition: For found property, destroy cards and tags when property is restored to its owner. All other records: Cut off annually, destroy after 3 years.

**217-21 Physical Evidence Files.** Documents on the preservation and accountability of physical evidence.

Disposition: Cut off when property is returned to owner or disposed of, destroy after 2 years.

**217-22 Evidence Log Files.** Log books or registers of physical evidence obtained during the investigation of crimes.

Disposition: Cut off when all property has been returned to owner or otherwise disposed of, then destroy after 2 years.

**217-23 Report of Excess Personal Property Files.** Included are forms used when accounting for the disposal of lost, abandoned, unclaimed, or excess Government or personal property.

Disposition: Cut off annually, destroy after 3 years.

**217-24 DPO Equipment Record Files.** Documents on each DPO for equipment and uniforms issued. Included are measurements, property receipts, and related records.

Disposition: Cut off when employee returns equipment, destroy after 6 months.

**217-25 Defense Protective Officer Log Files.** Included are:

1. Security Logs, which are records of notices to agencies on a security or energy violation found by DPS; e.g., open safes, open security areas.

2. Report Logs, or log books on the number assigned to reports written by DPS units.

3. Ticket Logs, or log books of traffic tickets issued.

4. Ticket Log on thefts, or log books on stop-theft tickets issued.

5. Mobile Reports, or forms used by DPS mobile units as checklists showing the times that a facility was checked.

6. Code 44, or records on transport of prisoners, bank escorts, etc.

7. Activity Logs, or logs documenting daily activities at guard posts.

8. Building logs, or monthly logs of daily activities within buildings; included are copies of activity log forms.

Disposition: Cut off annually, destroy after 2 years.

**217-26 Contract Guard Record Files.** Records dealing with all aspects of DPS. Included is information on guards, firearms, qualifications training certification, sign- and -out sheets, technical manager and monitor inspections and related records.

Disposition: Cut off at expiration of contract, hold 1 year and retire to the WNRC; destroy when 6 years and 3 months old.

**217-27 Special Protection Measures Files.** Documents accumulated covering physical security measures planned and taken to protect Very Important Persons (VIPs) visiting DOD controlled facilities.

Disposition: Cut off annually, destroy after 2 years.

**217-28 Crime Prevention Assessment Files.** Documents accumulated from conduction assessments and inspections to evaluate physical protection services, facilities, equipment, and activities. Included are checklists, assessment forms and recommendations, reports, corrective and followup actions, and related records.

**Disposition:** Destroy when superseded or obsolete.

**217-29 Crime Prevention Program Files.** Correspondence forms from the Crime Prevention Unit. Included are questionnaires, bulletins, notices, and related records.

**Disposition:** Destroy when obsolete or no longer needed for reference.

**217-30 Law Enforcement Agreement Files.** Copies of Agreements and related records on the relationships between, responsibilities of, and actions to be taken by protection officers, groups, and law enforcement officials.

**Disposition:** Cut off when agreement expires or is terminated, destroy after 2 years.

**217-31 Reimbursable Work Authorization Files.** Records included GSA Form 2957, "Reimbursable Work Authorization", from agencies to request that GSA perform work on a reimbursable basis. This form authorizes the work, controls the amount of work performed, and the dollar value. Included are backup estimates and requests for changes, bills, purchase orders, travel documents, and related records.

**Disposition:** Cut off annually or on completion of work; destroy after 1 year.

**217-32 Staff Hours Distribution Files.** Records of staff hours spent by craft employees on any activity or assignment. Included are daily time reports, time sheets, time summaries, and related records.

**Disposition:** Cut off annually, destroy after 1 year.

**217-33 Training Record Files.**

1. Documents on the continuing program of providing training for uniformed and other DPS personnel in the field including programmed training, sight and sound packages, and instructions by supervisory officers. Included are course curriculums, qualification records, schedules, rosters, training bulletins, and related records.

**Disposition:** Destroy 5 years after completion of specific

training program.

2. Training Administrative Data Base. This file consists of information derived from hard copy records authorized for destruction by NARA-approved SF 115s covered elsewhere in this section and is used solely for administrative purposes.

Disposition: Delete when no longer needed (GRS 23, Item 3) (reference (p)).

**217-34 FPS Academy Records.** Documents on training of students at FPS Academy. Included are curriculums, schedules, rosters testing records, attendance records, firearm training and certification, and training aids.

Disposition: Cut off annually, destroy after 5 years.

**217-35 Firearms Files.** Documents on firearms and firing ranges.

Disposition: Cut off annually, destroy after 2 years.

**217-36 Incident Reporting and Investigative Case Files.**  
(N1-330-92-7)

1. Reports related to specific incidents concerning facility problems, property damage, fire drills, and similar matters as well as preliminary and other reports of criminal investigations maintained from the opening of a case until case closure. May include information on sources and evidence, information on non-criminal matters (such as internal affairs investigations, incidents where investigators and police officers are requested to assist the public in emergencies, etc.), and information collected on the following Secretary of Defense (SD) forms (or their successors): SD 541 Complaint Record; SD 545 Incident Report; SD 545-1 Interview Sheet; SD 542 Accident Report; SD 550 Arrest Report; SD 547 Defendant/Suspect Statement; and all narrative information related to cases under investigation.

Disposition: a. Non-criminal activity reports. Place in inactive file upon case closure. Review files at least once a year and destroy all files closed for at least one year. b. Criminal activity reports. Cut off when case is closed and place in inactive file area for three years. Retire to the WNRC three years after cutoff; destroy 15 years after cut off.

2. Information on current and former applicants for the position of DPS officers.

Disposition: Destroy when 2 years old (GRS 1, Item 15) (reference (p)).

3. Contingency planning and analysis files pertaining to regional, nationwide, and worldwide terrorist organizations and their potential effects on the security of DoD facilities. These files contain intelligence briefs; tactical, operational and strategical information reports; regional and nationwide contingency analyses; contingency action plans; and information on patterns and trends of potential or actual terrorists or terrorist groups and other activities that could disrupt the orderly operations of DoD-owned or -controlled facilities over which DPS has jurisdiction.

Disposition: Destroy when superseded, obsolete, or no longer needed.

**300 Comptroller. General** (NC1-330-77-13). The Comptroller of the Department of Defense (C, DoD) is the principal staff assistant to the Secretary of Defense for programming, budgeting, auditing, and fiscal functions. Unless otherwise indicated, permanent files described herein and retired to the WNRC will become available to the National Archives when 30 years old.

**301 Reserved.** (see 103, Common Mission Files).

**302 Reserved.**

**303 Principal Deputy Comptroller Program/Budget Files.**

**303-01 Comptroller Issues and Action Files.** Documents that represent the cognizance of this office over all important Comptroller issues on the programming systems, financial and budget policy.

**Disposition:** Permanent. Retire to the WNRC when no longer current.

**303-02 Plans and Systems (NC1-330-80-7).**

1. Contains documents that develop and establish financial policy. Studies of the policy, recommended changes, and directives.

**Disposition:** a. Permanent. Retire policy documents and studies to the WNRC when canceled or superseded. b. Destroy documents with Program and/or Budget position on DoD directives and instructions when no longer needed for reference purposes.

2. Congressional Relations. Documents developing DoD actions and positions taken on congressional authorization and appropriation actions; correspondence and documentation supporting DoD appeals; documents on preparation for hearings, proposed statements, and proposed answers to anticipated questions.

**Disposition:** a. Permanent. Retire to the WNRC when 3 years old. b. Reports published by congressional committees on Comptroller-related DoD matters: Armed Services, budget appropriations, or other regular or ad hoc committees. Destroy when no longer required for reference. c. Correspondence with Congress of routine, nonpolicy nature: Destroy when no longer needed for reference purposes.

3. Budget Matters. Documents that establish budgeting principles, policies, systems, and procedures covering all budget

formulation, management, and execution processes within the DoD and that maintain surveillance of the same; economic analyses and studies concerning the budget impact.

Disposition: Permanent. Economic analyses and studies of budget input. Retire to the WNRC when 5 years old. Documents on policy matters, systems, and procedures. Retire to the WNRC when cancelled or superseded for permanent retention.

4. NATO Financial Matters. DoD financial reports to NATO.

Disposition: Permanent. Retire to the WNRC when 10 years old.

### **303-03 Construction Files.**

1. Documents that review, evaluate and recommend on all DoD Component's Program Objective Memoranda (POM), budget requests, apportionment requests, and budget execution plans for all military constructions, homeowners assistance, or family housing appropriations, and for the areas of national intelligence (or other classified projects).

Disposition: Permanent. Retire to the WNRC when 3 years old. Transfer to the National Archives when 20 years old.

2. Documents that monitor the execution of the budget for military constructions, homeowners assistance, or family housing appropriations, and for areas of national intelligence (or other classified projects). Reports and studies that accomplish the same. Policy directives and procedures for the management of these programs.

Disposition: Permanent. Retire policy documents when superseded or canceled. Transfer to the National Archives when 20 years old.

### **303-04 Operations Files.**

1. Documents that review, evaluate, and make recommendations on the DoD Components' POMs, budget requests, apportionment requests, and budget execution plans for the annual cost of operations of the DOD.

Disposition: Permanent. Retire to the WNRC when 3 years old.

2. Documents which monitor financial execution of the Military Personnel and the Operation and Maintenance appropriations.

Disposition: Retire to the WNRC when 3 years old. Destroy

when 25 years old.

**303-05 Program and Financial Control.**

1. Analyses of current and projected financial and quantitative data to ascertain financial requirements and progress in terms of obligations and expenditure rates of DoD's appropriations and reports on significant trends.

Disposition: Permanent. Retire to the WNRC when 3 years old.

2. Primary uses of computer systems and programs supporting the budget process. Computer reports, users manuals, correspondence with programming, and ADP support activities.

Disposition: Destroy 5 years after supersession.

3. Documents that develop and review the Future-Year Defense Program (FYDP). Instructions that establish procedures for its development and input reports from Component activities.

Disposition: a. Procedures and policy on the FYDP and reviews and inputs to the FYDP are permanent. Retire to the WNRC when 5 years old for permanent retention. b. FYDP is permanent. Retire to the WNRC when 5 years old.

4. Preparations and reviews of the estimates of obligations, expenditures, and estimates of annual carryover of availability. Establishment of reprogramming procedures and processes reprogramming action to Congress when appropriate.

Disposition: a. Permanent reprogramming policy and procedures. Retire policy documents to WNRC when superseded or cancelled. b. Reprogramming actions and documents are retired to the WNRC when 3 years old for permanent retention.

5. Documents that prepare fiscal reports, financial statements, charts, and graphs to support the budget presentation, studies, and economic analyses.

Disposition: Permanent. Retire to the WNRC when 3 years old.

6. Documents that operate and control the Planning, Programming, and Budgeting System (PPBS); review of all Program Objective Memoranda documents and preparation of program change memoranda and the process of same.



Disposition: Permanent. Retire to the WNRC when 5 years old.

7. Program and Performance Systems. Documents that prepare policies, plans, and guidance for the maintenance, extension, and improvement of the DoD Planning, Programming, and Budgeting System. This provides broad policy on the entire planning concept for budgeting, for designating programs and acquisitions to be pursued in the immediate future, and for the next 6 years. Prepares the annual action schedule for Program and/or Budget. Prepares policies and objectives to guide development and implementation of subsystems to the FYDP.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

**303-06 Investment Files.** Documents that review, evaluate, and make recommendations on DoD Components' POMs, budget requests, apportionment requests, and budget execution plans for all procurement, and all research, development, test, and evaluation appropriations of the DOD. Also, documents which review and analyze the execution of the budget for procurement and research, development, test, and evaluation accounts.

Disposition: Permanent. Reviews, evaluations of POM's, budget requests, studies, and reports. Retire to the WNRC when 3 years old. Transfer to the National Archives when 10 years old.

**303-07 Revolving Fund Files.** Documents that review, evaluate, and make recommendations on DoD Components' POMs, budget requests, apportionment requests, and budget execution plans for all revolving funds of the DOD. Also documents which review and analyze budget execution for all revolving fund accounts.

Disposition: Permanent. Retire to the WNRC when 3 years old.

**303-08 Reserved.**

**303-09 Reserved.**

**304 Principal Deputy Comptroller Management Systems Files.**

**304-01 Systems Policy Files.**

1. Policy directives and procedures that direct and supervise the development and implementation of programs for improvement of resources and operations in the DOD (other than budget systems).

Disposition: Permanent. Retire to the WNRC when canceled

or superseded.

2. Assist the DoD Components in efforts to improve management systems.

Disposition: Destroy when 3 years old.

3. Establish and supervise the accounting policy, program and performance measurement, and banking and finance.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

4. Correspondence and liaison within the DOD, or with other Government Agencies, international organizations, and foreign governments on the subject.

Disposition: Retire to the WNRC when 3 years old. Destroy when 25 years old.

**304-02 Accounting Policy Files.** Accounting policies, principles, and systems. Reviews and recommendations for approval of financial management systems, integrated accounting, financial reporting, appropriated funds, working capital funds, and property of the DOD. These policies and principles govern: The integration of resource management and financial systems; accounting, financial reporting, and pricing policy for foreign military sales; use of working capital; cost accounting and transfer pricing; collections and expenditures of funds; the administrative control of funds; uniform account structures and classifications; financial inventory accounting and reporting for expense and investment items, including Government-owned property in possession of contractors.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

**304-03 Defense Business Operations Fund/Unit Cost Development Files.** These files document the development of unit cost resourcing systems and the implementation of the Defense Business Operations Fund and related financial management applications.

1. Financial Management Development Files. These files consist of letters, memos, reports (i.e., final reports), and studies generated by the unit cost task force in the development and coordination of financial management programs and systems within the Services and Defense Agencies.

2. Business Management Application Files. These files consist of letters, memos, and other correspondence; trip reports and site reports (that affect formulation of guidance or policy); and Service and Agency recommendations pertaining to gainsharing, performance measurement and budgeting, organizational assessment tools, publicity and education/training associated with these management programs.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

3. Program Budget Decision (PBD)/Defense Management Report Decision (DMRD) Documentation Files. This file consists of input to the PBD/DMRD, which is centrally controlled by the Program and Financial Control Directorate.

4. DoD Budget Files. These files consist of documentation submitted by the Business Management Directorate in its role in preparing the DoD budget. Not to be confused with submissions pertaining only to the Component's budget described elsewhere in this Instruction (see 103-04.3).

Disposition: Destroy after 5 years on or discontinuance, whichever is first, as prescribed for documents maintained in accordance with series 103-03.3.

5. Congressional Testimony Files. These files consist of input prepared by the Business Management Directorate for use during congressional testimony and may include congressional reports, inquiries, and liaison documentation. Not to be confused with congressional correspondence files described elsewhere in this Instruction (102-18).

Disposition: Cut off upon presentation of submission; destroy when 5 years old. Earlier destruction is authorized when no longer required for reference purposes, as prescribed for documents maintained in accordance with series 103-11.

6. GAO/IG Congressional Action Items (surveys and investigations) Reports and Audits Files. Copies of GAO/IG reports pertaining to the Services and Defense Agencies which are kept for information and reference only.

Disposition: a. Action copies. Cut off and retired to the WNRC when no longer needed for oversight or action; destroy after 15 years. b. Information copies. Destroy when no longer needed for reference purposes, as prescribed for documents maintained in accordance with series 103-10.

7. Business Accounting Systems Development Files. These are letters, memos, monthly, quarterly, and annual financial and

budgetary reports, financial systems reviews, copies of CIM steering committee reports and budget documents, studies of financial policies and systems, and business area analysis reports. Included are comments on proposed issuances of policies and procedures from DoD Comptroller, Defense Finance and Accounting Service, and other DoD offices and components; miscellaneous correspondence on current financial issues, comments on PBD and other financial and budgetary issues; comments on policies related to the Chief Financial Officers Act, the US Government and DoD Standard General Ledgers, and the DoD Financial Management Regulation, DoD 7400.14-R (reference (y)).

Disposition: Cut off and retire to the WNRC superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**304-04 Information Technology Financial Management Files.**

1. Documents which establish policy on information technology resources (POMs, budget requests, apportionment requests, funding policy issues and budget execution plans); Unit Cost/Fee-For-Service policy, guidance, procedures, and documents for Information technology Business area; and data administration procedures, policy, and data element identification for financial management.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete, as is required for policy-type documents maintained in accordance with series 103-01.

2. Documents accumulated in the review of Major Automated Information System Council (MASIRC).

Disposition: Destroy when no longer needed for current operations, as is required for committee-type documents maintained outside the designated office of record, in accordance with series 103-06.

3. Documents accumulated in Budget adjustment review of ADP resources. Used to prepare Defense Management Review Decision analysis, evaluation, development, and reporting for CIM.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 103-08.3.

**304-05 Management Information Control and Analysis.**

1. Documents that develop, establish, and prescribe

DoD-wide policy and criteria on management and control of all types of information requirements, including internal, interagency, and public reporting, forms, statistical surveys, and questionnaires and management systems required in the acquisition process, and encompassing all types and techniques of data and information collecting, recordings processing, and reporting. Review the implementation and operations of derivative programs for management and control of information requirements of the DoD Components. Represents the DOD in development of Federal policy information requirements. Establishes and administers the information requirements levied on the DoD Components, defense contractors, and the general public.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

#### **304-06 Contract Audit and Analysis Files.**

1. Documents that plan and develop policies and procedures required for directing and controlling performance of DoD audits or surveys of significant problem areas in Defense contractor activities.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

2. Policies and plans for contract auditing. Analyses, evaluations, and coordination of audit organizations, programs, operations, and reports of the DoD. Summarize for key officials highlights of audit reports from the DoD Components and obtains follow-up information on action taken. Development of procurement policies, especially cost principles on contract auditing.

Disposition: Plans and policies are permanent. Retire to the WNRC when canceled or superseded. Summaries of audit reports are to be destroyed when no longer needed for reference.

3. Documents that develop policy and procedures to be followed in matters on audit of Defense contractor's records. Documents containing technical guidance for the Defense Contract Audit Agency (DCAA) as representative of the DoD Comptroller. Evaluations of audit instructions developed by the DCAA to ensure consistency with DoD policies. Documents on development of procurement regulations of instructions on contract audit or contract cost practices.

Disposition: Policies and procedures are permanent. Retire to the WNRC when canceled or superseded.

4. Reports and working papers on special studies performed

to evaluate the effectiveness of contract audit support of procurement.

Disposition: Destroy when no longer needed for reference.

5. Evaluations of GAO reports and proposed DoD responses thereto that involve contract audit or DoD practices.

Disposition: Destroy GAO report copies, evaluations, and proposed responses after all actions and coordinations have been completed and the documents are no longer needed for reference.

6. Correspondence with ASD offices, Military Departments, Defense agencies, industry groups, university groups, and public accounting firms on matters affecting the pricing or costing of contracts or the auditing of costs incurred or proposed thereunder.

Disposition: Destroy when no longer needed for reference.

**400** General Counsel Files General Information. (Except where otherwise indicated, these files are approved under NARA job number NC1-330-76-2.) All permanent records will be transferred to the National Archives when 30 years old, unless otherwise indicated. For Chronological Reading Files, see series 102-16 in this Instruction.

**401** Reserved (see 103, Common Mission Files).

**402** Office of the General Counsel of the Department of Defense

**402-01** Office Functional Files.

1. Legal advice, opinions, and assistance to various committees of the DOD such as: Personnel Security Programs - legal assistance on cases for the OSD Control Clearance Groups; Freedom of Information Act (DoD Directive 5400.11) (reference (k)); interpretations of the Act, case opinions, and background information.

Disposition: Permanent. Cut off and retire to the WNRC 2 years after no longer needed for current business.

2. DoD Legislative Program. Records that relate to the review, coordination, and presentation of proposed legislation or executive actions that involve any activity of the DOD.

Disposition: Permanent. Cut off and retire to WNRC when no longer needed for current business.

3. Emergency Planning and Continuity of Operations. General Counsel's role in subject programs, legal advice on acquisition, and seizure of essential property of equipment. Inventory of essential records for the General Counsel.

Disposition: Permanent. Retire discontinued legislation file to the WNRC 2 years after no longer needed for current business.

4. Records on court trials, administrative hearings, and other legal proceedings, correspondence, and case files.

Disposition: Permanent. Retire record copies to the WNRC 5 years after no longer needed for current business.

5. Records documenting legal terms and conditions for the acquisition, care, and occupancy of real property, such as contracts, insurance policies, leases, titles, and other similar records.

Disposition: Retirement or disposition authorized only on an individual case basis. Submit SF 135 for appropriate authorization when disposition action is desired.

6. Records on the development and establishment of policies and methods employed in Civil Government and related matters.

Disposition: Permanent. Retire record copies to the WNRC 2 years after no longer needed for current business.

**402-02 Deputy General Counsel (Fiscal).**

1. Legal advice and assistance to the OSD Welfare and Recreation Association.

Disposition: Permanent. Retire record copies to the WNRC 2 years after no longer needed for current business.

2. Directives and Policy. Legal advice on proposed directives of a fiscal nature.

Disposition: Permanent. Retire record copies to the WNRC 2 years after no longer needed for current business.

3. Collection, compromise, or termination of collection actions on DoD civil claims for money or property.

Disposition: Permanent. Retire record copies to WNRC 2 years after no longer needed for current business.

4. Legal advice on fiscal matters and coordination on fiscal directives. Records documenting legal terms and conditions of interests, tariff, and tax administration matters.

Disposition: Permanent. Retire record copies to the WNRC 2 years after no longer needed for current business.

**402-03 Deputy General Counsel (Personnel and Health Policy )**

1. Advice and assistance to the Assistant Secretaries of Defense (Personnel and Readiness, Reserve Affairs, Health Affairs) in the clearances of directives and policy, the preparation of legislative packages, and in all other aspects such as, nondiscrimination, and appeal rights that may have legal applications.

Disposition: Permanent. Retire to the WNRC when 5 years old.

2. Documents providing advice to the Assistant Secretary of Defense (P&R) personnel matters such as equal opportunity, labor



management relations, off-base housing.

Disposition: Permanent. Retire to the WNRC when 5 years old.

**402-04 Deputy General Counsel** (Acquisition and Logistics)

1. Legal directives, advice, and opinions on inventions and their licensing.

Disposition: Permanent. Retire to the WNRC when 5 years old.

2. Legal aspects of conservation and management of natural resources such as oil reserves.

Disposition: Permanent. Retire to the WNRC when 5 years old.

3. Records on the documentation of the policy for the acquisition of real property, terms and conditions of the titles, contracts, deeds, court orders, and related proceedings.

Disposition: Permanent. Retire record copies to WNRC 3 years after no longer needed for current business.

4. Legal advice on Defense Acquisition Regulation (DAR) or other procurement matters and files of procurement actions of special interest to the OSD. Legal advice to the Defense Systems Acquisition Review Council (DARC) on procurement activities. Advice and review of procurement contracts.

Disposition: Permanent. Retire to the WNRC when 10 years old.

5. Legal advice on general directives, instructions, and operation of logistical functions. Advice on transportation matters, proceedings before regulatory agencies, motor vehicle accidents, Homeowners Assistance Program, etc.

Disposition: Permanent. Retire to the WNRC when 10 years old.

6. Committee files. Advice and assistance to various committees in these functional areas such as the OSD Concessions Committee that require contract and lease advice.

Disposition: Permanent. Retire to the WNRC when 5 years

old.

**402-05 Senior Deputy General Counsel** (International Affairs and Intelligence)

1. Legal advice and assistance on such international matters as: Status of Forces Agreements, jurisdiction of service courts of friendly foreign forces, review of legality of weapons under international law. Agreements with foreign governments or international organizations.

Disposition: Permanent. Retire to the WNRC when 10 years old.

2. Legal opinions prepared for the Secretary of Defense on Defense matters under discussion or review by the Department of State.

Disposition: Permanent. Retire to the WNRC when 10 years old.

3. Directives and policy instructions to the Components of the DoD concerning such subjects as indicated in subparagraph 1., above.

Disposition: Permanent. Retire to the WNRC when 10 years old.

**403 Standards of Conduct Office.** (GRS 1, Item 24, June 1988) (reference (p)). (The dispositions included here apply EXCEPT that documents needed in an on-going investigation will be retained until no longer needed in the investigation.)

**403-01 DoD and Defense Related Employment Files.**  
Reports from former military and DoD employees who accept positions with Defense contractors within 2 years after separation and reports from employees of Defense contractors who accept jobs with the Department of Defense. The volume of business with the DOD must be in excess of \$10,000,000 per year. Reports are submitted on DD Form 1787, "Report of DoD and Defense Related Employment."

Disposition: Cut off at the end of the calendar year. Destroy when 6 years old.

**403-02 Affiliations and Financial Interests Files.**  
These files contain original copies of DD Form 1555, "Confidential Statement of Affiliations and Financial Interests Department of Defense Personnel," and DD Form 2292, "Request for Appointment or Renewal of Appointment of Consultant or Expert." These forms are renewed annually.

Disposition: Cut off at end of calendar year. Destroy when 6 years old.

**403-03 Executive Financial Disclosure Reporting Files.**

These files contain copies of SF 278, "Executive Personnel Financial Disclosure Report, "that is required to be submitted by those Government officials specified by the Ethics in Government Act of 1978. Also included are worksheets, correspondence, and other pertinent documents.

Disposition: Cut off annually. Destroy when 6 years old.

**403-04 Defense Contractor Reports on Former DoD Employees.**

These files contain originals of reports submitted by Defense Contractors in accordance with 10 U.S.C 2397) regarding certain former DoD employees. Reports are submitted in any format by Defense Contractors aggregating \$10 million or more in defense contracts.

Disposition: Cut off annually. Destroy when 6 years old.

**403-05 Conflict of Interest Files.** Advice and assistance on conduct and conflict of interest. Reviews and adjudication of statements of employment and financial interest.

Disposition: Destroy statements of employment and interest and related papers 2 years after the employee leaves the agency or leaves the position in which a statement is required.

**404 Office of Hearings and Appeals Files.**

**404-01 Policy Files.** Policy statements, directives, and general Administrative documents on the Defense Industrial Security Clearance Review Program.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for files maintained in accordance with series 103-01.

**404-02 Investigative Report Files.** Summaries and reviews and investigative reports on issuance of, or continuation of clearances, which are favorable.

Disposition: Retire to the WNRC 5 years after no longer active. Destroy 20 years later (NC1-330-77-13).

**404-03 Hearing Case Files.** Case files on determinations and hearings for applicants maintained by Department Counsel, Administrative Judges, and Appeal Board.

Disposition: Retire to the WNRC 5 years after no longer active. Destroy 20 years later (NC1-330-77-13).

**404-04 Final Decisions.** Redacted copies of final decisions of Administrative Judges and Appeal Board.

Disposition: Permanent. Retain in the OSD (5 USC 552(a)(2)(A) (reference (x))).

**404-05 Psychiatric Consultants Files.** (NC1-330-79-5) Files of psychiatric consultants who have agreed to conduct examinations for DoD on individuals applying for access to classified information. Each case file consists of background historical information on consultants.

Disposition: Destroy case file 6 months after the agreement between DoD and the consultant has been terminated.

**405 Legislative Reference Service Files.**

**405-01 Legislation and Opinion Files.** Documents on proposed legislation and legal opinions, positions on legislative matters if of interest to the Defense Department.

Disposition: Permanent. Retire to the WNRC after no longer current or required for reference.

**405-02 Document Reference and Distribution Point Files.** Copies of documents, laws, acts, Federal Code, directives of legal interest used to facilitate work.

Disposition: Destroy when no longer needed for reference.

**405-03 Historical Legislation.** Documents, opinions, and related papers of legislative content that have historic or continuing interest.

Disposition: Permanent. Retire to the WNRC when legislation is no longer effective.

**406 Non-Career SES (Political Appointees) Vetting Files.** (Pending approval.) This file consists of records collected to evaluate suitability of individuals seeking or who have been recommended for non-career positions within the DoD and consist of referral letters, White House clearance letters, OPM certifications, information about individual's professional licenses, results of FBI and IRS inquiries, financial disclosure statements (SF 278), personal data questionnaires and general counsel interview sheets, published newspaper and magazine articles by and about the applicant, and other correspondence relating to the selection and appointment of political

appointees. This file contains information protected under the Privacy Act of 1974 (DGC 16) and is not to be confused with file series 212.3 maintained by the White House Liaison Office and the Special Assistant to the Secretary of Defense for Personnel.

Disposition: a. Selectees: Destroy at the end of the presidential administration during which individual is hired. b. Nonselectees: records of individuals who are not hired are destroyed 1 year after the file is closed, but not later than the end of the presidential administration during which the individual is considered.

**500 Intelligence (NC1-330-77-9)** Files of this series pertain to the intelligence functions of the Secretary of Defense. They contain all DoD intelligence policies, programs, and activities, including those for warning, reconnaissance, and other related areas that may be designated by the Secretary of Defense. Files described herein may be further subdivided, depending upon volume, by the additions of a decimal suffix. NOTE: This schedule is not applicable to documents described as SI or SCI. Documents so designated will be destroyed when obsolete or no longer needed.

**501 Reserved** (see 103, Common Mission Files).

**502 Programs and Resources**

**502-01 Programs and Resources**

1. Documents that develop, coordinate, and promulgate all documents in intelligence and intelligence-related planning and programming at the OSD level.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

2. Analyses of intelligence resources programs and supervision of their implementation.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

3. Recommendation of objectives, plans, and guidance for intelligence resources.

Disposition: Permanent. Retire to the WNRC 5 years after superseded.

4. Formulation of budget estimates, fiscal and manpower, for the intelligence positions of the DoD budget. Reviews of intelligence programs and recommendations for funding levels.

Disposition: Budget estimates and fund level recommendations. Destroy when 6 years old.

5. Documents that maintain the intelligence data base, fiscal and manpower data bases. User manuals and data element definitions.

Disposition: User manuals. Destroy 2 years after system is discontinued. Data element definition: Destroy 2 years after

supersession.

#### **502-02 General Systems**

1. Concepts and plans for improved management of DoD intelligence activities.

Disposition: Permanent. Retire to the WNRC 2 years after superseded or no longer needed.

2. Policies for the management of intelligence operations including operational requirements and priorities.

Disposition: Permanent. Retire to the WNRC 2 years after superseded or no longer needed.

3. Correspondence with and coordination of intelligence activities within the Department of Defense and with other U.S. government entities.

Disposition: Permanent. a. Policy correspondence with intelligence activities. b. Administrative non-policy correspondence and related documents. Destroy 5 years after coordination action is discontinued or when no longer needed.

#### **503 Intelligence, Surveillance and Warning.**

##### **503-01 Intelligence, Surveillance and Warning.**

1. Policy direction for the development, interpretation, and operation of warning systems. Reviews and analyses to define objectives and determinations of adequacy of current and future warning systems.

Disposition: Permanent. Retire to the WNRC 2 years after superseded or no longer needed.

2. Technical and policy directives for all programs involving electronic intelligence (ELINT) within the Department of Defense. Reviews and analyses of adequacy of current or future ELINT systems. Cost and/or value evaluations of such systems.

Disposition: Permanent. Retire to the WNRC 1 year after superseded or when no longer needed.

##### **503-02 General Defense Intelligence Program.**

1. General Defense Intelligence Program (GDIP). Development, review, program issues on governmental agencies and DoD services.

Disposition: Permanent. Retire to the WNRC 1 year after superseded or no longer needed.

2. GDIP budget submissions, evaluations, revisions, meetings, committee notes, recommendations, etc.

Disposition: Permanent. Retire to the WNRC 2 years after superseded or no longer needed.

3. GDIP resource data of Government Agencies and DoD services.

Disposition: Destroy when obsolete or no longer required.

4. Reference files of budget justifications, defense plans, Joint Strategic Objective Programs (JSOP), Joint Staff Memorandums (PDM's), Defense Policy Programming Guidance Memorandum (DPPGM's), etc.

Disposition: Destroy when obsolete or no longer required.

**503-03 Space Systems.** Evaluations of programs for new systems and devices related to intelligence functions. Determinations on the needs for intelligence programs based on analyses of threats, resource priorities, requirements, trends, strategic objectives, and innovations in technology. Studies and technical guidance on specialized intelligence systems.

Disposition: Permanent. Retire to the WNRC 2 years after superseded or no longer needed.

**503-04 SIGINT Systems.**

1. Policy directives for the development, integration, and operation of reconnaissance and surveillance programs. Reviews and analyses of existing and planned systems to determine adequacy and objectivity.

Disposition: Permanent. Retire to the WNRC 2 years after completion of actions or when no longer needed.

2. Technical and policy direction for all reconnaissance and surveillance programs.

Disposition: Permanent. Retire to the WNRC 1 year after canceled or obsolete.

**503-05 Intelligence Resources.**



1. Fiscal Guidance. Correspondence, issue papers, referrals, related congressional hearing data, etc.

2. Intelligence Budget Data. OSD offices intelligence budget.

3. Consolidated Intelligence Resources Information Systems (CIRIS) budget requirements, justification analyses, and management.

5. Contract Fund Allocation. Data by fiscal year.

Disposition: Permanent. Cut off at end of calendar year, hold in CFA 1 year and retire to the WNRC.

6. Policy. Budget-related data on DoD services operations.

Disposition: Permanent. Retire to the WNRC 3 years after file cutoff (calendar year).

7. Congressional Fiscal Data. Policy, appropriations, presentation back-up data, House and/or Senate and/or Conference bills, correspondence, testimonies.

Disposition: Permanent. Retire to the WNRC 1 year after superseded or when no longer needed for reference.

8. Studies and exercises for DoD services. Preparation and backup data and copies of completed documents.

Disposition: Destroy when obsolete or no longer needed for reference.

9. Budget Issue Papers. DoD services and governmental agencies.

Disposition: Destroy when obsolete or no longer needed.

**504-01 Contractor Files.** Research and evaluation project study documents created by civilian companies, corporations, etc., per government contract for resultant documents.

1. Interim contract reports and document volumes that are portions of complete contract requirements and contract files by contract titles.

Disposition: Destroy when above files are complete.

2. Correspondence with point of contact on contract timing, change, amendments, background data, control and dissemination of created documents.

Disposition: Permanent. Retire to the WNRC 1 year after completion or no longer needed.

3. Control, dissemination, and evaluation of contractor products by military and/or civilian professional staff.

Disposition: Permanent. Retire to the WNRC 1 year after completion or no longer needed.

**504-02 General Purpose Force Reference and Planning Files.** Operations plans, orders, and technical description and evaluation publications and committee meetings and evaluation minutes, issues, discussions, and conclusions.

Disposition: Reference files. Destroy when obsolete or no longer needed; committee minutes destroy 1 year following annual cutoff.

**504-03 Strategic Force.** Strategy plans; offensive system files and intelligence committee correspondence; Strategic Arms Limitations Talks (SALT) monitoring documents, messages and papers.

Disposition: Destroy when obsolete or no longer needed (reference files).

**504-04 Intelligence Collection systems.** Allocations, product evaluations, perspectives, and objective files.

Disposition: Permanent. Retire to the WNRC 1 year after superseded or no longer needed.

**504-05 Special Subject Files.** Analysis, comparison, management, study results, and historical research of special subjects.

Disposition: Permanent. Retire to the WNRC 1 year after superseded or when no longer needed.

**504-06 Intelligence Reference Documents.** Memoranda, reports, reviews, & required following fact sheets and/or books and service and foreign country publications.

Disposition: Destroy when obsolete or no longer required following annual cutoff of files.

**600 RESERVE AFFAIRS.** This organization is responsible for National Guard and Reserve Affairs of the Department of Defense as provided by Title 10, U.S.C, to include manpower, personnel, force structure, programming, funding, procurement, facilities and construction, equipment and logistics, legislation, training, management, mobilization readiness, and other aspects of Reserve Affairs. Permanent documents in this series, unless otherwise note, will be transferred to the National Archives and Records Administration when 30 years old.

[Note: 600-series numbers are reserved for RA-unique files; those descriptions that follow are covered by dispositions listed elsewhere in this Instruction and are presented here for ease of reference only.]

**102-02 Reserve Component Military Readiness Briefing (RCMRB).** This file contains the viewgraph presentation on RC force readiness for presentation to the Secretary of Defense.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**103-01 Reserve Affairs Policy Files.** These files contain policy matters that pertain to all aspects of the ASD(RA)'s mission.

1. **Materiel and Facilities.** Documents that pertain to and involve facilities management and construction and all aspects of materiel for the Reserve components; record files for the annual National Guard and Reserve Equipment Report; Military Construction Programs, and Operations and Maintenance Program; congressional hearing statements, transcripts, and correspondence; audit and inspection reports; special programs, initiatives, studies, and reports pertinent to Reserve components.

2. **Readiness, Training, and Mobilization.** Documents that pertain to the readiness and training posture of Reserve forces, mobilization policy, and processes whereby the Reserve forces respond to assigned missions, and those initiatives related to interallied Reserve components matters including meetings of the Interallied Confederation of Reserve Offices (CIOR) and National Reserve Forces Committee (NRFC). Studies and reports conducted by this office and component services that examine or recommend upon readiness, training, and mobilization. Studies that consider restructuring to improve readiness and training posture.

3. **Mobilization Policy and Plans.** Documents governing the mobilization of the National Guard and Reserve forces. Studies and reports conducted by this office and by Component forces that

and reports conducted by this office and by Component forces that examine the ability to mobilize the Guard and Reserve forces. Documents that review, develop, or amend DoD Directives and Instructions on policy affecting mobilization of the Guard and Reserve forces. Review studies conducted by Service education institutions, DoD agencies, and other government departments and agencies on Reserve mobilization issues; reviews and analyses of allied Reserve forces.

4. Reserve Affairs Emergency Action Packages (EAP). Crisis management instruction sets for use as guidelines by OSD decision makers.

5. Manpower and Personnel. Documents that pertain to and involve Reserve force manpower and personnel policies and procedures, personnel utilization and standards, full-time support programs, accession plans and programs, manpower and personnel data systems, legislation, pretrained individual requirements and programs, and Reserve component compensation, entitlement, and quality of life programs.

a. Manpower Programs and Requirements. Documents dealing with policy on Reserve component categories and reports that reflect Reserve manpower requirements or the use of Reserve forces. Preparation of the Reserve portions of the Military Manpower Training Report and Military Manpower Requirements for Congress.

b. Equal Opportunity Policy. Documents on Reserve and examination of program effectiveness. Reports from Components on implementation of the program. Statistics on the ratios of minorities used as a yardstick to measure success. Also includes - DACOWITS documentation.

c. Manpower Mobilization. Documents on studies, policies, requirements and exercises that pertain to the mobilization of Reserve forces. Included are studies and policies on civilian mobilization, casualty estimation, and the Wartime Planning System (WARMAPS).

d. Screening Policy. Documents on matters prescribing uniformity in the screening and separation of Ready Reserves.

e. Compensation Policy. Documents on application of uniform rates of compensation, methods of attainment, per diem on active duty, travel, and transportation for Reservists.

f. Legislative Policy. Documents on matters prepared to implement the need for changes affecting the Reserve and National Guard such as uniform promotions and retirements for all Components.

g. Personnel Data Systems. Documents on policy matters that establish a management information system for Reserve personnel, identify data elements, inputs, and outputs of the system. Does not include the ADP documentation and retention separately or copies of users manuals described in the applicable 1600-series.

h. Accession and Training. Documents on issues, including GAO/IG reviews, on enlistment programs, policies for interservice transfer, retention studies, recruiting, initial entry, and refresher training.

i. Incentive Policy. Documents on issues and policy on special and incentive pays, bonus programs, educational benefit programs, including the Montgomery GI Bill, STIPENDS, and loan repayment.

j. Education. Documents on issues, information papers, and studies on educational opportunities within the military other than the Montgomery GI Bill.

k. Personnel. Documents on matters such as promotion of both officer and enlisted personnel, drugs and alcohol, HIV, Veterans' Reemployment Rights, and Family Policy.

l. Medical. Documents governing structure, utilization, training, equipping, and modernization of Reserve Component medical forces.

m. Separation/Transition. Issues, documents, studies, and policies on the separation/transition of service members to, from, or between Reserve Components. Included are items on benefits associated with separation/transition actions.

n. Corporate Information Management (CIM). Documents and policy on the CIM concept. Included are issues which increase the DoD functional management efficiency, and standardization of business processes and data, reduction of duplication in systems, and standardization of functional requirements.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete.

**103-03.3 Reserve Affairs Administrative -- Program and Budget -- Files.** This file contains documents required to prepare and defend the Reserve forces on planning, programming, and budgeting, and includes quantitative and qualitative input to the Five-Year Defense Program defining the requirements to support

the Reserve program, and reviews, analyses, and plans from which the budget figures are generated.

1. Planning Phase. Reviews and analyses documenting participation in Defense Guidance process.

2. Program Phase. Reviews and analyses documenting the overall management of RA's participation in the Program Operation Memorandum and Program Decision Memorandum process.

3. Budget Phase. Reviews and analyses for the overall management of RA's participation in the OSD budget review process.

4. Audits and Inspections. Documents on GAO and OIG audits and reviews.

Disposition: Destroy after 5 years or discontinuance, whichever is first. However, documents in the cutoff file that require additional action or relate to reopened cases should be brought forward into the current file.

**103-06.1 Reserve Affairs Committees Files.** Documents on establishing, operating, and dissolving committees that consider, advise, take action, and report on specifically assigned functions. They include joint, interdepartment, international committees. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; directives establishing, changing, continuing, or dissolving the committee; documents nominating, approving, appointing, and relieving committee members; notices, agenda, minutes, and reports of committee meetings and related documents. These are documents pertaining to those committees for which OASD(RA) designates the chairman or secretariat or is the office of record.

Reserve Forces Policy Board (RFPB). Charter, correspondence, membership roster, minutes, studies of policy issues of a multiservice nature resulting in recommendations for policy.

a. RFPB Annual Report. Annual report to Congress forwarded by the SECDEF and all correspondence leading up to and including the final report.

b. RFPB Membership/Alumni/Liaison Officer. Listing of members. Members are on the Board for a three-year term. Term dates are all different, so list is under constant revision. Alumni listing contains names of members who have left the Board; alumni are invited to quarterly meetings. Liaison officers points of contact between the Board and the Military Services.

c. RFPB Quarterly Meeting. Invitation letters, requests for active duty orders, thank-you letters, agendas, handouts used at meetings, executive summaries with recommendations, information regarding setting up meetings, and meeting books.

d. RFPB Field Studies. Correspondence regarding field studies made by the Board.

e. RFPB Issues Files. Issues the Board has discussed in its meetings and on which it has made recommendations. Also includes documentation on issues which affect the Reserve Components.

Disposition: Permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cutoff or when the committee is abolished. Note: Where committee minutes are transcribed from sound recordings, they may be erased when reduced to print.

**103-06.2 Reserve Affairs Committee Files.** These files contain documentation pertaining to committees for which OASD(RA) does not appoint the chairman or secretariat.

1. RFPB General Information File. This file contains items of interest on a one-time basis such as letters from Reservists asking questions not really issues for the Board and information in general about Reserve Components.

2. NCESGR General Information Files. This file contains correspondence with employees and commitments from employers to participate in the program; correspondence with industry and commitments from individuals concerned referrals and related papers.

3. Advisory Committee Activity. Documentation on general management and decision process concerning Reserve Components within the DoD.

4. Mobilization Steering Group (MSG). Documents concerning such mobilization issues as 200K call-up, civilian planning, casualty estimation, recruiting success, IRR screening, and attrition.

5. Medical Capability Evaluation Steering Group. Documentation on medical personnel requirements generation, DoD medical mobilization planning/execution process, and inspections of medical mobilization.

6. OSD Training Subcommittee. Documentation focused on the

design of training strategies and technologies to the unique training needs of the Reserve Components.

7. National Reserve Forces Committee (NRFC) and Confederation of Interallied Reserve Officers (CIOR). These meetings are hosted on a rotating basis and do not generate reports or advice or other documents of a permanent nature. These files consist of letters, memoranda, schedules, budgets, POCs one semiannual meetings, planning and budgeting documents for the U. S. hosting of the NRFC/CIOR Congress.

Disposition: Destroy when no longer needed for current operations.

**103-07 Staff Visit Files.** This file contains letters, rosters, POC lists on visits by foreign delegations to OASD(RA).

Disposition: Destroy when 5 years old, except files on recurring visits will be destroyed on completion of the next visit.

**103-08.3 Reference Paper Files.** These files consist of technical and similar reproduced documents.

1. Defense Science Board. Documentation addressing several new research and development technological programs to keep a technological advantage.

2. Force Closure Files. Documentation on background information on the base realignment and closure commission establishment, DoD facility review process, and report approval and/or implementation steps.

3. Drug Program. Documentation on Guard and Reserve plans to support drug interdiction.

4. Force Mix. Documentation concerning potential force mix options and Total Force Policy notes on force mix issues.

5. Crisis Deterrence and Warfighting Capabilities. Contains FEMA Major Emergency Action Guidelist (MEAG) on interface with Reserve Affairs in fulfilling mutual national emergency preparedness responsibilities. Also, list of action officers for these emergency responsibilities.

6. Reserve Unit Priority System (RUPS). Briefing information on a training and readiness model derived from existing data bases and used to track status of resources.

Disposition: Destroy after 1 year. However, documents in the active file that require additional action or relate to reopened cases should be brought forward for filing in the



current file. Earlier destruction is authorized.

**202-46 Reserve Affairs Personnel Files.**

1. Individual Mobilization Augmentee Personnel (IMA) File. This file consists of papers on individual members of Reserve Affairs; IMA detachment, or weekend-drilling Reservists assigned to support OASD(RA) during times of crisis.

2. Reserve Affairs Attrition File. This file contains information on directors of R&T, RA.

Disposition: Review annually and destroy superseded or obsolete documents or destroy 1 year after separation or transfer of the individual concerned.

**700 Public Affairs (NC1-330-77-12)** The Assistant to the Secretary of Defense for Public Affairs is responsible for public information and community relations. Unless otherwise indicated, permanent files described herein and retired to the WNRC will be transferred to the National Archives when 30 years old.

**701-01 - 701-08 Reserved** (see 103, Common Mission Files).

**701-09 Informational Services Record.** This file contains certain records on information services performed by the DoD offices in their day-to-day affairs and in their relations with the public. Except as otherwise specified in individual items, it applies to copies of these records wherever located in the DoD. However, 2 and 6 are applicable only to files maintained in formally designated informational offices that have been assigned responsibility for the operation of the informational activities.

1. Complete set of formal informational releases and publications.

a. Press releases, press conference transcripts, graphic progress presentations, and indexes thereto.

**Disposition:** Permanent. Retire to the WNRC when 2 years old.

b. Official speeches with indexes.

**Disposition:** Permanent. Retire to the WNRC when 2 years old.

2. Request for information and copies of replies thereto, involving no administrative actions, no policy decisions, and no special compilations or research. Requests for and transmittals of publications, photographs and other informational literature.

**Disposition:** Destroy when 3 months old or when no longer needed, whichever is sooner (GRS 14, Item 1) (reference (p)).

3. Acknowledgements and transmittals of inquiries and requests that have been referred elsewhere for reply.

**Disposition:** Destroy 3 months after acknowledgment and referral (GRS 14, Item 2) (reference (p)).

4. Daily press service teletype news.

Disposition: Destroy Defense-related items after 1 year, all other items after 1 month.

5. Informational services project case files maintained in formally designated informational offices.

Disposition: Destroy 1 year after close of file or 1 year after completion of project if method of filing differs from that suggested herein.

6. Anonymous letters, letters of commendation, complaints, criticisms and suggestions, and replies thereto, excluding those resulting in investigations, administrative action, or those to be incorporated in individual personnel records.

Disposition: Destroy after 3 months (GRS 14, Item 5) (reference (p)).

7. Biographies.

Disposition: Permanent. Cut off and retire to the WNRC when superseded.

8. Records on the initiation, development, and implementation of policies, criteria, and standards regarding the release of information to the press, radio, television, or other media whereby such release will result in information reaching the public.

Disposition: Permanent. Retire record copies to the WNRC 2 years after annual cutoff. Destroy all duplicate copies 6 months after annual file cutoff unless part of a case file. Destroy all reproduced copies when policy standards or criteria are superseded or rescinded.

9. Records on the planning, preparation, coordination, and issuance of publications issued as an official DoD position.

Disposition: Permanent. Retire record copies to the WNRC of material used in and for the development of official public releases, including coordination and distribution records 1 year after file cutoff for permanent preservation.

#### **701-10 Visual Information Records and Files.**

1. **Audiovisual productions.** Audiovisual productions are self-contained complete groups of moving images (either with or without sound) with continuity that are developed according to a plan or script for either directly or interactively conveying information to or communicating with an audience. Thus, audiovisual productions may include scripted motion pictures, television broadcasts, informational/training videos,

entertainment/music videos, interactive videos, spot announcements, and advertisements. The record elements of such productions are the following:

For film: the original negative or color original plus a separate optical sound track, an intermediate master positive or duplicate negative plus sound track, and a projection print.

For video: the camera original or master plus a dub.

For interactive video (whether analog or digital): the original film or video segments, photographs, graphics, and sound recordings from which the video scenes were compiled; the software and related documentation necessary to run the program; the finished disc master.

The following categories of audiovisual productions are covered by the disposition instructions that follow thereafter:

a. OSD-sponsored productions intended for OSD-wide, DoD-wide, or public distribution.

b. Productions produced for or by the OSD that are intended for internal staff use.

c. Productions acquired from outside DoD that either:

(1) Provide information concerning the organization, functions, policies, procedures, operations, and essential activities of the Department of Defense or a component thereof.

(2) Depict or convey information about current or historical events involving the Department of Defense.

(3) Communicate information or instructions concerning the operation, maintenance, construction, design, repair, use of, capabilities of, or tactical implications of weapons, equipment, or technologies that are unique to, used in a unique manner by, or used primarily by either the U.S. Military, foreign armed forces, or anti-U.S. non-governmental armed organizations.

d. Unedited outtakes and trims, the discards of the production process, which have been appropriately arranged, labelled, and described.

Disposition: Permanent. Transfer to the DoD Motion Media Records Center when 5 years old or no longer needed for administrative use, whichever is sooner. Transfer to NARA no later than three years after a currency review determines the

production to be "obsolete."

e. Productions acquired for purposes of entertainment or recreation.

Disposition: Dispose of when no longer needed in accordance with any applicable governing contractual provisions.

f. Production materials that are not described in Item 1.a. through 1.e. of this Section.

Disposition: Dispose of when no longer needed.

2. **Video and film documentation imagery.** Documentation imagery is the live recording of events, activities, people, places, things, or phenomena. Such imagery portray scenes that are characteristically not staged or controlled by the camera operators and depict events as they are actually occurring. The record elements consist of the camera original, edited master, or earliest generation or film copy of a video original, plus a dub.

a. (Pending approval.) Imagery recording any of the following:

(1) actions, operations, activities, and transactions of the Department of Defense.

(2) events or ceremonies involving the Department of Defense, or its military or civilian personnel.

(3) DoD weaponry, equipment, vehicles, aircraft, ships, buildings, sites, facilities, or parts thereof.

(4) persons, places, things, or phenomena that are related to past, present, or anticipated future DoD actions or operations.

Disposition: Refer to the Audiovisual Records Decision Logic Table for appropriate disposition instructions.

b. (Pending approval.) Imagery transferred by electronic or visual processes to film for purposes of archival preservation.

Disposition: Dispose of after verifying the adequacy of the film copy.

c. (Pending approval.) Off-air or off-satellite transmission recordings of video described in Item 2.a.

Disposition: Destroy when the camera original video has been accessioned into the DoD Motion Media Records Center or returned

to the originating Service.

d. Imagery included as part of a project file, case file, report, or similar type of record.

Disposition: Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.

e. Imagery not described in Item 2.(a) through 2.(d).

Disposition: Destroy when no longer needed for administrative use.

3. **Sound Recording Files.** Sound recordings on tape or disc that are:

a. **Audio productions.** Audio productions are self-contained sets of sounds with continuity that are developed according to a plan or script for conveying information, music, or sounds to or communicating with an audience. Thus, audio productions can include scripted radio broadcasts, recorded music, recorded sound effects designed to induce relaxation or a particular emotional reaction, spot announcements, and audio tapes related to a slide/tape set. The record elements consists of the master tape and either a disc pressing (if a mass-produced disc recording) or an audio tape dub. The following categories of Audio productions are covered by the disposition instructions that follow thereafter:

(1) Audio productions intended for broadcasting or training that are:

(a) OSD-sponsored productions intended for OSD-wide, DoD-wide, or public distribution.

(b) Productions produced for or by the OSD that are intended for internal staff use.

(c) Productions acquired from outside DoD that either:

(i) provide information concerning the organization, functions, policies, procedures, operations, and essential activities of the Department of Defense or a component thereof.

(ii) convey information about current or historical events involving the Department of Defense.

(iii) communicate information or instructions concerning the operation, maintenance, construction, design, repair, use of, capabilities of, or tactical implications of weapons, equipment, or technologies that are unique to, used in a unique manner by, or used primarily by either the U.S. Military, foreign armed forces, or anti-U.S. non-governmental armed organizations.

Disposition: Permanent. Transfer to the National Archives when no longer needed for administrative use or when 5 years old, whichever is sooner.

(2) All other audio productions, including recorded music, sound effects, and productions acquired by AFRTS and other DoD Components for purposes of entertainment or recreation.

Disposition: Dispose of when no longer needed in accordance with any applicable governing contractual provisions.

**b. Audio documentation.** Live audio recordings of events, activities, people, or phenomena. Such recordings contain sounds and words that are characteristically **not** staged or controlled by those operating the recording devices and depict events as they are actually occurring. The record elements consist of the original recording or earliest generation copy plus a dub.

(1) Audio recordings of an event, speech, conference, ceremony, or activity that is either historically significant, attracts civilian media attention, or involves flag rank officers or high level DoD officials.

Disposition: Permanent. Transfer to the National Archives when no longer needed for administrative use or when 5 years old, whichever is sooner.

(2) Documentation recordings not described above.

Disposition: Dispose of when no longer needed.

**4. Still Picture Files.** Still photographs, slide sets, filmstrips, posters, original artwork, analog still video, digital still video, and digital images. The record elements of such still pictures are the following: For black & white photographs: the original negative and a captioned print. For color photographs: the original negative and a captioned print. For color transparencies, slides, or filmstrips: the original color transparency, an internegative if one exists, and a dupe copy. For other still pictorial records: the original and a reference copy. The following categories of Still picture files are covered by the disposition instructions that follow thereafter:

a. (Pending approval.) Images depicting any of the following:

(1) Actions, operations, activities, and transactions of the Department of Defense.

(2) Events or ceremonies involving the Department of Defense, or its military or civilian personnel.

(3) DoD weaponry, equipment, vehicles, aircraft, ships, buildings, sites, facilities, or parts thereof.

(4) Persons, places, things, or phenomena that are related to past, present, or anticipated future DoD actions or operations.

Disposition: Refer to the Audiovisual Records Decision Logic Table for appropriate disposition instructions on individual photographs or images prior to their incorporation into the Still Picture File.

b. Images or photographs included as part of a project file, case file, report, or a similar type of record.

Disposition: Dispose of in accordance with the approved disposition instructions applicable to the records of which they are a part.

c. Photographic print, optical disc, or slide files (but not including record element materials) containing photographs, images, or slides that are used for internal reference purposes or are approved by senior DoD officials for public or media release.

Disposition: Retain individual photographs, discs, or slides for as long as there is an internal need for or a public or news media interest in the material, then destroy.

d. (Pending approval.) Off-air, off-satellite, or off-wire recording of a still image

Disposition: Destroy when the camera original has been incorporated into the DoD Still Media Records Center.

e. (Pending approval.) Electrochrome or film copy of an image originally recorded in still video.

Disposition: Dispose of in accordance with the disposition instructions applicable to the original still video.



f. Images and photographs **not** described in Items a. through e. of this section.

Disposition: Destroy when no longer needed for administrative use.

**5. Audiovisual Documentation Files.** Finding aids (including captions) and other files relating to audiovisual and visual information records.

a. Finding aids consisting of any of the following: shelf lists, caption cards, data sheets, indexes, or other documentation in a textual, microform, or machine-readable form that is necessary or helpful in properly identifying, retrieving, or using audiovisual or visual information records. (The record copies of the finding aids/caption data for DoD imagery accessioned into the DoD Still Media Records Center and the DoD Motion Media Records Centers (the official DoD repositories for such records) are stored in the ImageBank (SMRC) and MediaBank (MMRC) database systems respectively). For caption information received by or retained at the DoD Joint Combat Camera Center, see Items 706-08 and 706-09).

Disposition: Dispose of in accordance with instructions covering the related audiovisual records.

b. Production files or similar files that include production contracts, scripts, treatments, transcripts, and other documentation bearing on the origin, acquisition, public release, and ownership of the production.

(1) Files maintained by the Production Activity or the DoD Motion Media Records Center.

Disposition: Transfer to the DoD Motion Media Records Center when the related production is sent to that facility. Dispose of in accordance with the NARA instructions covering the related audiovisual records.

(2) (Pending approval.) Files maintained elsewhere

Disposition Destroy when no longer needed.

## **702 Community Relations**

### **702-01 General**

1. Bicentennial Plans. Focal point for documents organizing DoD activities in observance of bicentennial programs. Coordination for all Armed Forces participation.

Disposition: Permanent. Retire to the WNRC when 2 years

old.

2. Policies and procedures governing Armed Forces participation in public events. These prescribe the circumstances under which it is permissible to provide bands, marching units, displays, color guards, ships or aircraft lifts, and similar activities.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete as appropriate for policy documents maintained in accordance with files series 103-01.

#### **702-02 Programs Division**

1. Documents on planning and carrying out Joint Civilian Orientation Conferences and other OSD-sponsored conferences.

Disposition: Permanent. Retire to the WNRC when 5 years old.

2. Correspondence on arrangements for briefings, conferences, tours, etc; for civilian groups.

Disposition: Destroy after 3 years. (Formerly 702-02.4)

3. Correspondence on arrangement for displays, color guards, bands, and troop support for public events.

Disposition: Destroy 1 year after cutoff. However, documents in the cutoff file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

#### **702-03 Public Activities Division (NC1-330-81-1)**

1. Documents on arrangements for speakers to participate in public events and on arrangements for presentation.

Disposition: Destroy on cutoff.

2. Documents on arrangements for aerial demonstration team performances, flyovers, and static aircraft displays at airshows and other public events.

Disposition: Destroy 1 year after cutoff. However, documents in the cutoff file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

3. Correspondence and documents on military participation in Armed Forces Day observances.

Disposition: Destroy after 3 years.

**702-04 National Organization Division (NC1-330-81-1)**

1. Correspondence with national organization (business, labor, quasi-military, veterans, etc.)

2. Correspondence and documents on military participation in Veterans Day observances.

3. Correspondence on Standards of Conduct compliance by associations that include Defense actors. Compliance on procedures for issuing invitations and for seating arrangements at banquets and similar events.

Disposition: Destroy after 3 years.

**703 Defense Information**

**703-01 Media Travel**

1. Policy on authority for members of the press to travel on DoD-furnished transportation to military establishments worldwide.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded. Transfer to the National Archives after 5 years.

2. Individual accreditation and clearances for media.

Disposition: Destroy individual accreditation and clearances 10 years after death of individual press member.

**703-02 Research and Distribution.** Research support to provide background and current data on issues of interest.

Disposition: Destroy when 3 years old.

**703-03 News Division**

1. Coordination, implementation and reviews of news media aspects of the Public Information program to ensure maximum public understanding of policies, objectives, and functions.

Disposition: Permanent. Retire to the WNRC when superseded.

2. Development and implementation of news service policy.

Disposition: Permanent. Retire to the WNRC when superseded.

3. Release of official unclassified news relative to DoD activities.

Disposition: News releases are permanent. Retire to the WNRC when 5 years old.

4. Management procedures of Armed Forces News, Defense Women's News, and Defense News.

Disposition: Record copy of each periodical is permanent. Retire to the WNRC when 5 years old.

703-04 Audiovisual Division (NC1-330-81-1)

1. Public affairs audiovisual policy.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded. Transfer to the National Archives 20 years later.

2. Documentation on the DoD participation in National Press Photographers Association education and training events and competition.

Disposition: Permanent. Retire to the WNRC when 5 years old. Transfer to the National Archives when 10 years old.

3. Indexes of still and motion pictures cleared for public release.

Disposition: Permanent. Retire to the WNRC when 5 years old. Transfer to the National Archives when 10 years old.

4. Documentation on OASD(PA)-initiated in-service film production.

Disposition: Permanent. Retire to the WNRC and transfer to the National Archives when 20 years old.

5. Documentation on DoD cooperation with civilian producers in the production of TV, theatrical, and industrial motion picture films.

Disposition: Permanent. Retire to the WNRC when 5 years old. Transfer to the National Archives when 20 years old.

6. Ready-access still and motion picture duplicate

photography for media handout.

Disposition: Destroy when obsolete or no longer needed.

7. Files on DoD's participation in film festivals.

Disposition: Destroy when obsolete or no longer needed.

**704 Freedom of Information and Security Review. (NC1-330-79-8)**

**704-01** Reviews of information from the Department of Defense or outside sources intended for dissemination through any media of public information to ensure that it is not inimical to national defense or in conflict with established policies or programs. Records relate to approval and/or disapproval of material prepared for public release by individuals other than those authorized to make public releases; includes material establishing policies, standards, and criteria for clearance of material.

Disposition: Retire records copies to the WNRC 2 years after annual cutoff. Destroy when 15 years old. Destroy duplicate copies when file is cut off unless part of a case file.

**704-02 Freedom of Information Act**

1. Freedom of Information Act (FOIA) Initial Requests Files. Files consisting of the original request, a copy of the reply letter sent to the requester, and documents that support the determination, excluding the records subject to the request.

Disposition: Destroy 2 years after date of reply, "if all records subject to the request were released; destroy 6 years after date of reply if records subject to the request were denied in full, or in part, and if no records subject to the request were located" (GRS 14, Item 11) (reference (p)).

2. FOIA Appeals Files. Files consisting of the appellant's letter of appeal, a copy of the reply letter sent to the requester, and documents that support the determination, excluding the records subject to the request.

Disposition: Destroy 6 years after date of DoD final reply (GRS 14, Item 12) (reference (p)).

3. Copies of Requested Records.

Disposition: Destroy released and/or denied records with case file.

4. FOIA Control Records. Reports such as registers maintained by the Directorate of Freedom of Information and

Security Review to track FOIA requests.

Disposition: Destroy 6 years after date of last entry (GRS 14, Item 13) (reference (p)).

5. FOIA Reports. Recurring reports and one-time information requirements on agency implementation of the FOIA. EXCLUDING annual reports to the Congress at the departmental level. The annual reports to the Congress should be scheduled for transfer to NARA by submitting SF 115 to NARA.

Disposition: Destroy when 2 years old or sooner if no longer needed for administrative use (GRS 14, Item 14) (reference (p)).

6. FOIA Litigation. Records, including correspondence and copies of records responsive to a FOIA request, that pertain to a lawsuit filed by the FOIA requester.

Disposition: Notwithstanding any other provision in this Instruction, records must be retained pending a final decision by the courts, that includes all appeals. Destroy when no longer needed.

7. FOIA Administrative Files. Records relating to the general agency implementation of the FOIA, including notices, memoranda, routine correspondence, and related records.

Disposition: Destroy when 2 years old or sooner, if no longer needed for administrative use (GRS 14, Item 15) (reference (p)).

**704-03 The Privacy Act.** These are files created in response to requests from individuals to gain access to their records or to any information in the records pertaining to them, as provided for under 5 U.S.C. 552a(d)(1) (reference (x)). Files contain the original request, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

1. Correspondence and supporting documents (EXCLUDING the official file copy of the records requested if filed here).

Disposition: a. Granting access to all the requested records, destroy 2 years after the date of reply. b. Responding to requests for nonexistent records; to requesters who provide inadequate descriptions; and to those who fail to pay agency reproduction fees; destroy requests not appealed 2 years after date of reply; destroy appealed requests in accordance with the

approved disposition instructions for related subject individual's record or 3 years after final adjudication by the courts, whichever is later. c. Denying access to all or part of the records requested, destroy requests not appealed 5 years after date of reply; destroy appealed requests in accordance with the approved disposition instructions for related subject individual's record or 3 years after final adjudication by the courts, whichever is later (GRS 14, Item 21) (reference (p)).

2. Official file copy of requested records.

Disposition: Dispose of IAW approved agency disposition instructions for the related records, or with the related Privacy Act request, whichever is later (GRS 14, Item 21) (reference (p)).

3. Privacy Act Amendment Case Files.

Disposition: a. Requests to amend agreed to by agency, destroy IAW the approved disposition instructions for the related individual's record or 4 years after agency's agreement to amend, whichever is later. b. Requests to amend refused by agency, dispose of IAW the approved disposition instructions for the related individual's record, 4 years after final determination by agency, or 3 years after final adjudication by courts, whichever is later. c. Appealed requests to amend, dispose of IAW the approved disposition instructions for subject individual's record or 3 years after final adjudication by courts, whichever is later (GRS 14, Item 22) (reference (p)).

4. Privacy Act Accounting of Disclosure Files. Files that provide an accurate accounting of the date, nature, and purpose of each disclosure, including forms for showing the subject individual's name, requester's name and address, purpose and date of disclosure, and proof of subject individual's consent when applicable.

Disposition: Dispose of IAW the approved disposition instructions for the related individual's records, or 5 years after the disclosure for which the accountability was made, whichever is later (GRS 14, Item 23) (reference (p)).

5. Privacy Act Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature of request, and name and address of requester.

Disposition: a. Destroy registers or listings 5 years after date of last entry. b. Destroy other files 5 years after final action by the agency or final adjudication by courts, whichever is later (GRS 14, Item 24) (reference (p)).

6. Privacy Act Reports Files. Recurring reports and one-time information requirements relating to agency implementation, including biennial reports to OMB, and the Report on New Systems at all levels.

Disposition: Destroy when 2 years old (GRS 14, Item 25) (reference (p)).

7. Privacy Act General Administrative Files. Records relating to the general agency implementation of the Privacy Act, including notices, memoranda, routine correspondence, and related records.

Disposition: Destroy when 2 years old or sooner, if no longer needed for administrative use (GRS 14, Item 26) (reference (p)).

#### **704-04 Mandatory Declassification Review**

1. Mandatory Declassification Review Files. Files created in response to requests from individuals and/or records depositories for the mandatory review of classified documents for the purposes of releasing declassified material to the public, as provided for under Executive Order. Files contain original requests, copy of reply thereto, and all related supporting documents, which may include the official file copy of records requested or copy thereof.

a. Correspondence and supporting documents  
(EXCLUDING the official file copy of the records requested if filed herein).

(1) Granting access to all the requested records.

Disposition: Destroy 2 years after date of reply (GRS 14, Item 31) (reference (p)).

(2) Responding to requests for nonexistent records; to requester who provides inadequate descriptions; and to those who fail to pay agency reproduction fees.

(a) Request not appealed.

Disposition: Destroy 2 years after date of reply (GRS 14, Item 31) (reference (p)).

(b) Request appealed.

Disposition: Dispose of IAW approved agency disposition



instructions for the related records, or with the related mandatory review request, whichever is later (GRS 14, Item 32) (reference (p)).

(3) Denying access to all or part of the records requested.

(a) Request not appealed.

Disposition: Destroy 5 years after date of reply.

(b) Request appealed.

Disposition: Dispose of IAW approved agency disposition instructions for the related records, or with the related mandatory review request, whichever is later (GRS 14, Item 32) (reference (p)).

b. Official file copy of requested records.

Disposition: Dispose of in accordance with approved disposition instruction covering the records following or with the related mandatory review request, whichever is later (GRS 14, Item 31) (reference (p)).

c. Copy of declassified and other documents released to the public.

Disposition: Destroy when no longer of public interest.

2. Mandatory Declassification Appeal File. Files created in responding to administrative appeals under the Executive Order for release of information denied by the OSD consisting of the appellant's letter, a copy of the reply thereto, and related supporting documents, which may include the official file copy of records under appeal or copy thereof.

a. Correspondence and supporting documents (EXCLUDING the official file copy of the records under appeal if filed herein).

Disposition: Destroy 4 years after final determination on appeal (GRS 14, Item 32) (reference (p)).

b. Official file copy of records under appeal.

Disposition: Dispose of in accordance with approved disposition instructions covering the records or with the related mandatory review request, whichever is later (GRS 14, Item 32) (reference (p)).

c. Copy of declassified and other documents released to

the public under appeal.

3. Mandatory Declassification Review Control Files. Files maintained for control purposes in responding to requests, including registers and similar records listing date, nature and purpose of request, and name and address of requester.

a. Registers or listing.

Disposition: Destroy 5 years after date of last entry (GRS 14, Item 33) (reference (p)).

b. Other files.

Disposition: Destroy 5 years after final action by the agency (GRS 14, Item 33) (reference (p)).

4. Mandatory Declassification Review Reports Files. Recurring reports and one-time information requirements on agency implementation, including annual reports to the Congress or the United States, the National Security Council, the Office of Management and Budget, and the Information Security Oversight Office.

Disposition: Destroy when 2 years old or sooner if no longer needed for administrative use (GRS 14, Item 34) (reference (p)).

5. Mandatory Declassification Review Administrative Files. Records on the general agency implementation of Executive Order 12356 (reference (q)), including notices, memoranda, routine correspondence, and related records, excluding policy files which are filed in 701-01.

Disposition: Destroy when 2 years old or sooner if no longer needed for administrative use (GRS 14, Item 35) (reference (p)).

6. Erroneous Release Files. Files relating to the inadvertent release of privileged information to unauthorized parties, containing information the disclosure of which would constitute an unwarranted invasion of personal privacy. Files contain requests for information, copies of replies thereto, and all related supporting documents, and may include the official copy of records requested or copies thereof.

Disposition: a. Files that include the official file copy of the released records, dispose of IAW the approved disposition schedule for the records concerned or destroy 6 years after the

erroneous release, whichever is later. b. Files that do not include the official file copy, destroy 6 years after erroneous release (GRS 14, Item 36) (reference (p)).

#### **704-05 Automated Files**

1. An automated data bank of retrievable information on cases that includes client and/or requester's name, data requested or proposed for public release, costs, if any, action component and/or action officer, abstracts, release determinations, etc., recorded in machine-readable magnetic form and retrieved by remote terminal.

Disposition: Destroy when no longer required for reference purposes.

2. DoD Text Review. Public utterances of the Secretaries of the Military Departments recorded on machine-readable magnetic tape and retrievable by remote terminal.

Disposition: Destroy when no longer needed for reference purposes. Note: The hard copies of public utterances are retired as permanent. See 701-09.1.

#### **705 American Forces Information Service (AFIS)**

##### **705-01 AFIS Administration**

1. Hard copy output from data banks storing information on the AFIS budget, DoD periodicals inventory, and inventory of audiovisual inventions. The data banks are not used for regular reporting cycles. Hardcopy output is generated to respond to specific inquiries.

Disposition: Destroy when purpose has been completed.

2. Temporary nonrecord material on assigned personnel, office procedures, and other administrative matters.

Disposition: Destroy material on personnel when individuals are reassigned. Destroy other material 1 year after cutoff.

3. Joint Service Motion Picture Files. Contain policy on acquisition, distribution, and care of the films.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded.

##### **705-02 Armed Forces Radio and Television Services (AFRTS)** **(NC1-330-81-1)**

1. Policies and procedures, describing program,

authorizing frequency, signal strength, manning, location, etc.

Disposition: Permanent. Retire to the WNRC when superseded.

2. Liaison with unions and industry on the use of music agreements, etc.

Disposition: See Section 701-04.

3. Coordination with State Department and United States Information Agency on arrangements in foreign countries.

Disposition: See Section 701-04.

4. Documents arranging for lease or purchase of film from industry and the creation of film for this purpose.

Disposition: Record copy is with procurement office. Destroy nonrecord copy when lease or purchase is completed.

5. Program materials for use by AFRTS outlets.

Disposition: Not later than July 1st of each year, AFRTS Broadcast Center will deliver to the NARA one 3/4-inch video cassette containing approximately fifteen television announcements and one 1/4-inch audio tape, reel-to-reel, containing about fifteen radio announcements, each typical of those added to the inventory during the previous calendar year. Remaining program materials will be destroyed when obsolete or no longer needed.

**705-03 American Forces Print and Publications Service  
(AFPPS) (NC1-330-81-1)**

1. Information guidance. Documents describing policy and providing guidance on use of internal information materials.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

2. Information releases to internal media.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

3. Daily press service teletype News.

Disposition: Destroy after 3 months (GRS 14, Item 3) (reference (p)).

4. Planning, preparation, coordination and issuance of publications as an official DoD position.

Disposition: Permanent. Retire to the WNRC when 5 years old.

**705-04 Current News Analysis and Research Service (CNARS) Publications Files (N1-330-92-3).** These files consist of copies of the Current News, Supplemental Clips, Special Editions, Radio-TV Defense Dialog, and Friday Review of Defense Literature.

Disposition: Permanent. Cut off when 1 year old. Retire to the WNRC after 5 years; transfer to National Archives when 25 years old.

**705-05 CNARS Special Studies (N1-330-92-3).** Special studies prepared at the request of the Secretary of Defense, Service secretaries, Service chiefs and other officials, embracing such topics as country studies for overseas trips analyses of editorials from selected newspapers, articles by selected columnists; statements by Defense officials; articles on Defense-related matters, and so on.

Disposition: Permanent. Transfer to the National Archives when no longer needed for reference or research purposes.

**706 Audiovisual and Visual Information Management Policy (NC1-330-79-6)**

**706-01 Implementation Files.** Records relating to the initiation, development, and implementation of policies, guidelines, and standards for audiovisual and visual information management

Disposition: Permanent. Transfer to the WNRC when 5 years old. Transfer to the National Archives when 15 years old.

**706-02 Products and Procedures Acquisition Files.** Documents relating to requirements, approval, acquisition, utilization, and disposition of audiovisual and visual information products and productions

Disposition: Retire to the WNRC when 5 years old. Destroy when 10 years old. For documents relating to products and productions that are significant to the history of either this office or DoD, offer to the National Archives when 15 years old.

**706-03 AV Management Oversight Files.** Records relating to management oversight of DoD audiovisual and visual information

activities

Disposition: Retire to the WNRC when 5 years old. Destroy when 10 years old.

**706-04 AV Resources Files.** Records relating to audiovisual and visual information resources: equipment and facility reports; standards; authorization, consolidation, and elimination documents

Disposition: Retire to the WNRC when 5 years old. Destroy when 10 years old.

**706-05 Federal Audiovisual Management Contracting Office (FACMO) Database.** (Pending approval.) Database file containing name, address, and descriptive information about producers on or applying for listing on the Qualified Film Producers List (QFPL) or Qualified Video Producers List (QVPL).

a. Machine-readable Database Records.

Disposition: Maintain until this office no longer has the mandated requirement to maintain the QFPL and QVPL lists.

b. Paper input documents.

Disposition: Destroy upon completion of input.

**706-06 Defense Automated Visual Information System (DAVIS) Databases.** (Pending approval.) The D201 database contains descriptive information about individual productions that are produced, acquired, or proposed by the Department of Defense or its Component Services and Agencies. The D202/D203 databases contain descriptive data about audiovisual production and other facilities. The D207 database contains a thesaurus that is used in data input into D201.

a. Machine-readable Database Records

Disposition: Maintain until this office no longer has the mandated requirement to maintain the DAVIS. At that time, offer the R81 (Records Transferred to NARA) and R91 (Records Destroyed or Otherwise Disposed of) files to NARA. Data in other files may be destroyed when no longer needed since any data of value will have been incorporated by NARA into their D260 or a successor file.

b. Paper input documents (such as the completed DD Form 2054s and DD Form 1995s) not incorporated into other files.

Disposition: Destroy upon input or when no longer needed.

**706-07 Caption Data Records.** DD Form 2537 "Visual Information Caption Sheet" and other caption data records received from the field (in either paper or electronic form), or created by the DoD Joint Combat Camera Center (JCCC) to describe edited COMCAM extracts or compilation videos created within the DoD JCCC (See Section 701-10, Item 5.a).

Disposition: Follow the disposition instructions applicable to the imagery to which the caption data relates. For imagery accessioned into the DoD Still Media Records Center or DoD Motion Media Records Center, dispose of caption sheets after input of caption data into the ImageBank or MediaBank is validated. For imagery returned to the Services or originators, return the caption data along with the related imagery.

**706-08 DoD Joint Combat Camera Center (JCCC) Database.** (Pending approval.) Database file containing descriptive material and caption data about Combat Camera imagery received or recorded by the DoD JCCC. Essentially, this database is a machine-readable extract of the information described in Item 706-08.

a. Machine-readable database records.

Disposition: Maintain individual records about specific imagery for as long as the DoD JCCC retains copies or edited extracts of the imagery, then delete.

b. Printed reports and other output.

Disposition: Destroy when no longer needed.

**706-09 Joint Combat Camera Conferences.** (Pending approval.) Records pertaining to the JCCCs such as briefing binders, minutes, individual session reports, list of attendees, and related documentation.

a. One copy of the briefing binder, official minutes of the Conference (with attachments), and official list of attendees.

Disposition: Permanent. Transfer to the WNRC when 5 years old. Transfer to the National Archives when 15 years old.

b. All other material.

Disposition: Destroy when 5 years old or sooner if no longer needed.

**706-10 Military Pictures of the Year Competition Files.**  
Correspondence and documents relating to location, award categories, judges, and notification of winners.

**Disposition:** Destroy when 5 years old or sooner if no longer needed.

**707 Public Affairs Planning and Guidance Files (N1-330-90-1).**

**707-01 Military Exercise Public Affairs Plans and Files.**  
Documents on the coordination and approval of proposed public affairs guidance and plans concerning military exercises hosted by Unified/Specified Commands. Documents include the proposed plan and or guidance, correspondence, and notes created during the coordination process, and the final approved plan or guidance.

**Disposition:** a. Annual Exercises - Public affairs plans and guidance for exercises held annually: Cut off annually; destroy after 1 year. b. Bi-annual Exercises - Public affairs plans and guidance for exercises held bi-annually: Cut off at the end of the year in which exercise is held; destroy after two years. c. Irregularly Scheduled Exercises - plans and guidance for exercises that are held on a one-time basis or at irregular intervals: Cut off annually; destroy after 5 years.

**707-02 Military Contingency Operations Public Affairs Plans and Guidance Files.** Documents on the coordination and approval of public affairs plans and guidance concerning US military contingency actions and operations. Included would be documents relating to counter-terrorism, the military role in drug interdiction operations, and deployments of US military forces to a foreign theater in response to a pronounced threat to US personnel, property, or interests, and US military participation in international disaster relief operations.

**Disposition:** Permanent. Cut off upon completion or cancellation of the operation; retire to the WNRC after 5 years; transfer to the National Archives after 25 years.

**707-03 OSD Publication Public Affairs Plans Files.**  
Public affairs plans developed by the Plans Directorate for release of OSD publications. Included in this category are the public release of Soviet Military Power, and other recurring or one-time publications.

**Disposition:** Permanent. Cut off annually; retire to the WNRC after 5 years; transfer to the National Archives after 25



years.

**707-04 DoD National Media Pool Files.** Contains documents on the operation of the DoD National Media Pool.

1. Policy Files. Files that establish policy for operation of the media pool. Included are policies governing composition of the pool, quarterly rotation policies, media ground rules, and associated policies.

2. Studies. Copies of academic or management studies performed by or on behalf of the DoD by individuals or organizations concerning the application of the media pool concept, military/media relations, and other aspects of the DoD media pool that are singled out for in-depth study.

Disposition: Permanent. Cut off upon supersession, obsolescence, or when no longer needed for reference; retire to the WNRC after two years; transfer to the National Archives after 25 years.

3. Quarterly Rotation Files. Documents indicating the agencies/organizations to be represented on quarterly media pools.

4. Bureau Chiefs Meeting Files. Files created in support or as a result of quarterly meetings of the bureau chiefs. Included are requests for administrative and logistical support, a copy of the principal's meeting book, and related documents.

5. Deployment Files. Documents created during a deployment of the media pool. Included are documents completed by members of the media who deploy as part of the pool, travel orders, passenger manifests, documents created during the pre-deployment alert notification and coordination of the pool deployment, and other related documents.

Disposition: Permanent. Cut off annually; retire to the WNRC after 5 years; transfer to the National Archives after 25 years.

**707-05 Exercise Participation Public Affairs Files.** Documents created as a result of the public affairs portion of exercises in which OASD(PA) participates in a "player" role. Included are exercise scenarios, exercise public affairs plans and guidance, and after action reports.

Disposition: Permanent. Cut off annually; retire to the WNRC after 5 years; transfer to the National Archives after 25 years.

**707-06 Long-Range Public Affairs Planning Files.** Copies of

long-range public affairs plans and objectives, coordinating documents, and periodic review of the plans; other documents which develop plans, programs, and themes of the DoD public affairs activities.

Disposition: Permanent. Cut off on supersession, obsolescence, or completion of the plan or program; retire to the WNRC after 5 years; transfer to the National Archives after 25 years.

**707-07 Wartime Public Affairs Planning Files.** Documents on development of plans for providing public affairs support during wartime. Included are studies and other documents concerning electronic information gathering and transmission, wartime information security program, correspondent accreditation, and other documents on public affairs programs in a combat environment.

Disposition: Permanent. Cut off annually, or upon supersession or obsolescence; retire to the WNRC after 5 years; transfer to the National Archives after 25 years.

**707-08 Public Affairs Special Project Files.** Documents on special, one-time projects assigned to the Plans Directorate.

Disposition: Cut off on obsolescence, supersession, or completion of project. Destroy after 5 years.

**708-01 SECDEF's & DEPSECDEF's Media and Trip Files.** Documents including invitations and correspondence to and from the Secretary and Deputy Secretary of Defense concerning US and foreign media interviews, public speeches, installation visits, and other events related to SecDef/DepSecDef travel. Individual files for each media, speech, or trip event include SecDef/DepSecDef, ASD (PA) guidance, geographic, legislative and military program issue papers, coordination memoranda, after-action reports, and various working documents supporting an overall approved event card or trip itinerary.

Disposition: Cut off upon change of SecDef. Retire to the WNRC when no longer needed for reference or ten years after cut off, whichever is sooner. Transfer to National Archives when 25 years old.

**800 International Security Affairs. General (NC1-330-77-1).**  
Under Secretary of Defense (Policy) in the Office of the Secretary of Defense performs the following functions:

1. Monitors DoD participation in the National Security Council (NSC) and initiates appropriate action in DoD implementing NSC's approved policies.
2. Develops and coordinates Defense positions, policies, plans, and procedures in the fields of international political and/or military and foreign economic affairs.
3. Identifies the national security objectives of the United States; studies the world situation and emerging problems of major significance of the security of the United States, analyzing the range of possible political and/or military actions for dealing with the solution.
4. Develops plans and other documents used to organize and monitor the activities of the Military Assistance Advisory Groups.

Unless otherwise noted, all 800 files designated for permanent retention will be transferred to the National Archives when 30 years old.

**801 Reserved** (see 103, Common Mission Files).

**801-04 Agreements File (NCI-330-77-1)**

1. See 103-04.
2. It may also contain agreements with foreign or international organizations concerning the operations or support of overseas forces or equipment. Included are comments on agreements between nations negotiated by the State Department which may impact on national defense.

**Disposition:** Permanent. Retire to the WNRC when 5 years old.

**802 Staff Offices**

**802-01 Treaty Obligations.** Copies of documents containing military commitments and treaty obligations, interpretations, comments or proposals.

**Disposition:** Permanent. Retire to the WNRC 5 years after commitment or treaty is obsolete or canceled.

### **802-02 Overseas Travel Clearance.**

1. Policy on obtaining clearance to officially visit overseas areas.

Disposition: Permanent. Retire to the WNRC when canceled or superseded.

2. Specific requests, clearances, and briefing data.

Disposition: Destroy upon completion of travel or after 90 days, whichever is later. (NI-330-93-2)

**802-03 Foreign Military Rights Affairs.** Documents that develop and coordinate DoD proposals and positions on military facilities, operating rights, and status of U.S. Forces in other countries; preparation of negotiating instructions for U.S. diplomatic missions on necessary agreements and the monitoring of the implementation of these agreements.

Disposition: Permanent. Retire to the WNRC 5 years after agreement voided.

### **803 Security Assistance**

**803-01 Policy, Plans, and Program Formulation.** Documents that:

1. Formulate DoD Security Assistance programs, including policies, plans, and priorities.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

2. Provide input to DoD planning, programming, and budget systems for security assistance. This would include expenditures and receipts for sale of Defense articles, planned operating expenses, etc.

Disposition: Destroy 3 years after end of fiscal year.

3. Establish DoD position on eligibility of foreign governments and international organizations for security assistance.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

4. Directs and monitor the Military Assistance Advisory Groups and representatives. Includes the Military Assistance and Sales Manual.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

5. Direct the Congressional Presentation Document.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

6. Provide policy guidance on the sale of defense articles and services.

Disposition: Permanent. Retire to the WNRC 5 years after policy or directive is canceled or superseded.

#### **804 European and NATO Affairs**

**804-01 European Region Files.** Policy matters of Defense interests pertaining to the North Atlantic Treaty Organization (NATO) and the countries of the Alliance (but excluding Greece and Turkey); the Warsaw Pact; Berlin; and all other European countries.

Disposition: Permanent. Retire to the WNRC 5 years after canceled or superseded.

#### **805 Policy and Plans**

**805-01 Policy, Plans, and National Security Council Affairs.** Analyses and planning documents affecting U.S. national security and defense posture; studies of current and emerging international politics and military issues; evaluations of politics and military implications of advanced weapons systems, force deployments, and regional defense concepts; coordination for the Department of Defense on foreign disaster relief; policies and coordination for military activities in or near politically sensitive areas.

Disposition: Permanent. Policy, plans, procedures, and directives, retire to the WNRC 5 years after canceled or superseded; analyses, evaluations, and studies, retire to the WNRC 5 years after superseded.

**805-02 Mutual Balance of Forces Reduction (MBFR) Task Force.** Analyses, plans, and DoD positions on any MBFR talks or negotiations.

Disposition: Permanent. Retire to the WNRC 5 years after supersession.

**805-03 Law of the Sea.** DoD policy matters on Law of the Sea and aspects of territorial waters, navigation, fishing, seabed, research, marine pollution, and relations with the U.N. Law of the Sea conferences.

Disposition: Permanent. Retire to the WNRC 5 years after supersession.

**806 East Asian and Pacific Affairs**

**806-01 East Asian and Pacific Region.** Policy matters of Defense interest on countries of the East Asian and Pacific Region (except the Union of Soviet Socialist Republics).

Disposition: Permanent. Retire to the WNRC 5 years after supersession.

**807 Near Eastern, African, and South Asian Affairs**

**807-01 Near East and South Asia.** Policy matters of Defense interest on countries of the Near East and South Asian regions, including Greece and Turkey and the Indian Ocean islands, (except the Malagasy Republic).

Disposition: Permanent. Retire to the WNRC 5 years after supersession.

**807-02 Africa Region.** Policy matters of Defense interest on countries of Africa and the Malagasy Republic (except the United Arab Republic).

Disposition: Permanent. Retire to the WNRC 5 years after supersession.

**808 International Economic Affairs**

**808-01 International Economic Affairs.** Documents on foreign economic implications of currently approved, new or alternative programs of force structures, weapons systems, and other military capabilities.

Disposition: Permanent. Retire to the WNRC 5 years after supersession.

**808-02 Strategic Trade and Disclosure.** DoD positions, policies, plans, and procedures in the fields of strategic trade control; monitors export control; and foreign disclosure. Documents, committee charter, memberships, minutes of the National Military Disclosure Policy Committee.

Disposition: Permanent. Retire to the WNRC 5 years after supersession.

**808-03 Prisoner of War and/or Missing in Action Affairs.**

Policy on the overall program and coordinating documents of all DoD and/or MIA activities. Directives on procedures on Prisoners of War (POW) and detainee programs.

Disposition: Permanent. Retire to the WNRC 5 years after supersession.

**808-04 Committee on Foreign Investment in the United States**

(CFIUS) Case Files. Case files accumulated in the Defense Technology Security Administration (DTSA) in response to requests from the Department of Treasury (chair of (CFIUS) regarding proposed mergers, acquisitions, and takeovers of U.S. business by foreign investors. Includes tasking documents from Department of the Treasury, lists of DoD agencies to which case is referred and responses, background information on companies, and in certain instances, special reports.

Disposition: Cut off when case is closed or no longer needed for current business; hold in current files for 3 years and retire to WNRC; destroy when 10 years old **except** that materials of no substantive value such as annual reports submitted by companies, may be destroyed when no longer needed, as is authorized for reference paper documents maintained under the provisions of series 103-08.3.

**809 SALT Task Force Files.** Advice formulation and coordination of Strategic Arms Limitation Treaty (SALT) policy for the DoD.

Disposition: Permanent. Retire to the WNRC 5 years after supersession.

**810 Automatic Data Processing (ADP) Files**

**810-01 International Balance of Payment. (MAP) (ISA)**

A machine-readable file created by Defense Security Assistance Agency (DSAA) to provide data for research and referral. It also serves as input to the Office of the DoD Comptroller Master International Balance of Payments file which has a different disposal schedule (see NC1-330-78-5).

1. Master ADP File.

Disposition: Retain until no longer required for reference.

2. Input to Master File.

Disposition: Scratch when 9 months old.

**810-02 Foreign Military Sales (FMS) (DSAA) (AR) 1100.** A machine-readable cumulative record of FMS recording information on valid country requests, execution of accepted cases, delivery forecasts, and actual deliveries.

1. Master File.

a. Case Report System.

Disposition: Permanent. Transfer to the National Archives when no longer required for reference.

b. Item Detail Tape.

Disposition: Permanent. Transfer to the National Archives when no longer required for reference.

c. Master FMS Record; FMS Delivery File and Financial Tape.

Disposition: Scratch when 6 years old or no longer required for reference, whichever is later.

2. Quarterly File.

Disposition: Scratch when 6 years old or no longer required for reference, whichever is later.

3. Weekly Report.

Disposition: Scratch when 90 days old.

4. Hard Copy Output. Journals, facts, congressional presentations.

Disposition: Retire one copy annually for permanent preservation. Transfer to the National Archives when 25 years old.

**810-03 Military Assistance Program (MAP) (DSAA) (AR) 1000.** This is a machine-readable record, tape resident, recording MAP deliveries in material or services for participating countries.

1. Master Program and/or Delivery Tape.

Disposition: Permanent. Make available to the NARA when no longer required for reference.

2. MAP Delivery Summary File and CPD Summary File reference, whichever is later.

Disposition: Temporary. Scratch when 5 years old or no



longer required.

3. Quarterly File.

Disposition: Temporary. Scratch when 5 years old or no longer required for reference, whichever is later.

**811 Files of Military Assistance Advisory Groups (MAAGs), Military Missions, and Similar Joint Activities Established in Foreign Countries to Manage DoD Security Assistance Activities (NC1-330-79-3)**

**811-01 Records On Security Assistance**

1. Records on programs for the provision of security assistance to foreign governments in the form of material, training, and other assistance. Included are records that relate to establishing the requirements of foreign governments, including materials that pertain to the organization, functions, strength, and readiness of foreign military units, as well as records that document fulfillment of requirements by the U.S., such as programs, amendments, and related papers, delivery schedules, and records that relate to visits of United States personnel to foreign military installations for the purpose of training and observation. Excluded are records described in 811-01.2.

Disposition: Permanent. Retire to the WNRC when 5 years old. Transfer to the National Archives when 20 years old.

2. Records on individual transactions involving the shipping, storage, issue, receipt, and distribution of U.S. materiel provided to foreign governments, including supply manifests, vouchers, receipts, and invoices, as well as records on the training provided by the United States to individual foreign nationals, such as biographic data, travel orders, lists of courses taken, and copies of academic reports.

Disposition: Temporary. Destroy in accordance with the disposition schedules of the Department designated to provide administrative support as identified in DoD Directive 5124.3 (reference (ee)).

**811-02 Records on the Organization and Functions of U.S. Military Missions.** Included are agreements, directives, understandings, policy guidance documents, and similar instructional material received from elements of the Department of Defense, the Department of State and its components, and from foreign governments as well as records generated within the

missions themselves, such as regulations, administrative memoranda, other policy issuances, organization charts, manuals, organization planning files, and general orders that document such matters as changes in command, organizational changes, and the issuance of awards.

Disposition: Permanent. Retire to the WNRC when 5 years old. Transfer to the National Archives when 20 years old.

**811-03 Other Records on MAAG's and Mission.** Follow the DoD disposition schedules of the Department designated to provide administrative support as identified in DoD Directive 5100.3 (reference (z)).

Disposition: Follow the DoD disposition schedules of the Service designated to provide administrative support as identified in DoD Directive 5100.3 (reference (z)).

**812 Deputy Under Secretary of Defense (Security Policy)  
Emergency Planning Files (N1-330-90-3)**

**812-01 Program Planning Files.** Documents on development of policy, plans, and procedures for the discharge of functions for emergency planning and preparedness, crisis management, defense mobilization and expansion in emergency situations, military support of civil authorities, and continuity of operations and continuity of government; provide support, as required, to the Department of Defense and other U. S. Government or State agencies on these as well as civil defense and related matters. Included are:

a. Civil Defense Files. Documents on activities and measures designed or undertaken to: (1) Minimize effects upon civilian population caused or expected to be caused by an enemy attack on the United States. (2) Deal with immediate emergency conditions which would be created by such an attack. (3) Effect emergency repairs to, or the emergency restoration of, vital utilities and facilities destroyed or damaged by such an attack.

b. Continuity of Government Files. Documents on measures designed to ensure continuity of essential functions of the Federal Government in the event of a national emergency.

c. Exercise (Command Post) Files. Records of military maneuvers or simulated wartime operations involving planning, preparation, and execution.

d. Intelligence Warning Indicators Files. Documents on selective dissemination of warnings and emergency information within Federal Emergency Management Agency (FEMA) regional areas within state-wide areas.

e. Military Support to Civil Authorities (MSCA) in Peacetime Conditions Files. Records on policy, plans and procedures governing MSCA in peacetime or wartime conditions: (1) Data concerning missions assigned to DoD to assist civil authorities in dealing with disturbances that exceed law enforcement capabilities of State and local authorities. (2) Documents related to the execution of disaster preparedness (e.g., plans for hurricanes, earthquakes, etc.) (3) Explosive Ordnance Disposal. Documentation of identification, detection, recovery and disposal of unexploded explosive ordnance.

f. Military Support to Civil Defense Files. Documents relating to role as principal DoD spokesman to military & civilian authorities on matters of policy and doctrine for military support to civil defense: (1) Civil Infrastructure Development. Fixed and permanent installations or facilities for support and control of military forces. (2) Key Asset Program. Policy guidance for planning to protect key assets (any industrial asset and any infrastructure asset owned by civil agencies or private sector).

g. Mobilization Steering Group Files: (1) Changes to current policies, plans, programs, and procedures that would improve the Department's ability to mobilize rapidly and deploy military forces. (2) Evaluations of the department's capability to mobilize forces and to carry out major deployment plans.

h. Graduated Mobilization Response Files. Documents on: (1) Development and implementation of incremental mobilization steps that are responsible to a wide range of national security threats and warning indicators. (2) Quick and effective implementation of mobilization preparedness measures. (3) Coherent decisions that relate mobilization response to the anticipated military requirements and overall national security policy.

i. National Security Emergency Preparedness (NSEP) Files. Documentation of capabilities at all levels of government to meet essential defense and civilian needs in any natural, technological, or military occurrence that degrades or threatens the security of the nation.

j. White House Correspondence Files. Queries from the White House regarding on-going programs, projects, and activities of the DUSD (P).

Disposition: Permanent. Retire to the WNRC when superseded or obsolete. Transfer to the National Archives when 30 years old.

**812-02 Defense Advisory Board Files.** Reference material on board study activities.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-03 Defense Planning & Budget.** Reference files on emergency planning response to Secretary of Defense's planning program budget.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-04 Defense Production Act.** Reference files on the Defense Production Act of 1950.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-05 DoD Emergency Authorities Retrieval & Analysis System.** Reference material used to develop DEARAS as an innovative contribution to DoD and Government-wide emergency management capability.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-06 Emergency Planning Preparedness.** Reference files on national security energy, emergency planning and response.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-07 Energy Emergencies.** Reference material on special activities on national security, emergency planning and response.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-08 FEMA Activities.** Reference materials concerning the wide range of emergency management activities in the Federal Government during times of peace and war.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-09 Foreign Acquisitions** Reference materials that monitor U. S. economy with other major industrial countries.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-10 Industrial College of the Armed Forces.** Reference material on research on strategic resources that impact on national security.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference.

**812-11 Mobilization Matters.** Reference documents on the act of organizing national resources to place the nation in a state of readiness to meet a military threat; calling up of reserves and assembly of military forces in order to meet a national emergency.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference.

**812-12 Mobilization Research Studies (MRS).** Reference material on government or contractor activities on mobilization and policy development.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference.

**812-13 Industrial Base Preparedness Planning Reference Files.** Material on the preparedness of industry to produce essential material to support national military objectives.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference.

**812-14 National Security Affairs.** Reference material encompassing both national defense and foreign relations: A defense posture capable of successfully resisting hostile or destructive action from within or without, overt or covert.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference.

**812-15 National Defense Stockpile (NDS).** Reference material on stockpiling strategic and critical materials in the interest of national defense to preclude a dangerous and costly dependence on foreign sources of supply in times of national emergency.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference.

**812-16 NATO Affairs.** Reference materials on international organizations covered by the agreement of the NATO.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-17 Readiness & Sustainability Issues.** Reference material on the ability and staying power (number of days) or four forces, units, weapon systems, and equipment that units can deliver in the outputs for which they were designed (ability to deploy and employ without unacceptable delays).

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-18 Reserve Forces.** Reference material on functions of non-mobilized forces of the United States. (1) The National Guard. (2) The Reserves.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-19 Sea- and Airlift Policy.** Reference papers on the total capacity of number of passengers and weight of cargo that can be carried at any time to a given destination by the available air or sea transport service.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-20 Unified, Specified & Combined Commands.** Reference material on military missions assigned by the President and the Secretary of Defense.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**812-21 Uniformed Services.** Reference material on the military services. Includes posture statements, documents on strategy and strategic planning, rules of engagement, and other topics of a general nature.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference.

**900 Health Affairs** (Except where otherwise noted, these files were approved under National Archives Job No. NC1-330-77-5). Health Affairs Files. This chapter consists of files necessary to administer the health affairs policy function of the Office of the Secretary of Defense. Included is advice and coordination on all health matters in the Department of Defense.

Unless otherwise indicated, all Health Affairs files of a permanent nature will be transferred to the National Archives when 30 years old. Files may be further divided depending upon volume by the use of a decimal suffix.

**901 Reserved** (see 103, Common Mission Files).

**901-01 Defense Medical Data Dictionary (DMDD) (NC1-330-92-11)**

This automated database is maintained by the Department of Defense (Health Affairs). The Defense Medical Data Dictionary (DMDD) is designed to collect, catalog, analyze and standardize terminology, content, and format of data elements used in operational and proposed medical information systems of the Department of Defense. The DMDD includes the physical and logical data element characteristics; source data element and file information; data element definition and other documentation; status of data element in the standardization process; official data element names; and data element value tables.

**Disposition:** Permanent. Transfer copies of the electronic files and documentation to the National Archives in September 1992. Thereafter, transfer on an annual basis. All transfers should be made in accordance with the standards set forth in 36 CFR 1228 (reference (e)).

**902 Drug and Alcohol Abuse**

**902-01**

1. Prevention and Identification. Documents on policy guidance on the prevention and identification of drug and alcohol abuse.

**Disposition:** Permanent. Retire to the WNRC when obsolete or superseded, as prescribed for policy-type documents maintained in accordance with series 103-01.

2. Administrative documents that prescribe procedures to determine frequency of testing and identification of drug and alcohol abuse personnel subject to testing.

Disposition: Destroy when superseded by new technology or improved procedures.

**902-02 Alcohol Abuse.** Policy matters on the alcohol abuse treatment programs prescribing procedures to be used and guidelines in the administration and discipline of personnel with alcohol problems.

Disposition: Permanent. Retire to the WNRC when obsolete or superseded, as prescribed for policy-type documents maintained in accordance with series 103-01.

**902-03 Treatment and Rehabilitation**

1. Policy on alcohol or drug treatment that prescribes the type of action to be undertaken for treatment, the rehabilitation procedures, and what disposition is to be made of those who complete the program or drop out. These are policy matters and do not include case files.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

2. Statistics on the number of military personnel undergoing treatment, or retreatment and those separated or returned to duty. Excludes raw statistical data included in compiled studies.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

3. Periodic evaluations on a "when required" basis consisting of documents that measure the success and effectiveness of the program.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

**902-04 Education and Training.** Documents that develop and implement policy for use in education and training programs used by the Armed Forces. It does not include individual training records but does include evaluations of the effectiveness of the current policy.

Disposition: a. Retire policy matters to the WNRC when obsolete or superseded, as prescribed for papers maintained in accordance with series 103-01. b. Evaluations are permanent. Retire to the WNRC when obsolete or superseded.

**903 Resource Analysis**



**903-01 Facilities and Material.** Development, coordination, and monitoring of DoD medical facilities and material policies, plans, and programs. Policies and guidelines on planning and space standards for military health care facilities. Review and coordination of plans and programs of FEMA regarding medical recommendations on proposed legislation about facilities or material.

**Disposition:** Permanent. Retire to the WNRC when obsolete or superseded, as prescribed for policy-type documents maintained in accordance with series 103-01.

**903-02 Health Manpower.** Directives that establish the military requirements for health personnel. These are of a nature that identify the critical medical and dental health categories; designate those entitled to continuation pay; and authorize strengths in grade for the Medical and Dental Officers Corps. Preliminary to the issue of such directives would be documentation consisting of studies and analyses that indicate the necessity for change. Policy directives on the utilization and medical education and training of health specialists. An example would be internship program policy and a determination of obligated service time for those who receive special training. Another would include documents proposing legislation affecting health programs such as bonus money to stimulate recruitment and retention.

**Disposition:** Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

**903-03 Cost and Budget.** Documents on budget requirements for health activities to be incorporated in appropriate budgets and plans. Cost-benefit studies of possible cross-savings, consolidations, or disestablishment of health facilities.

**Disposition:** Permanent. Retire to the WNRC when obsolete or superseded.

## **904 Health Information Systems**

**904-01 Program Statistics.** Analyses of medical care case load reports provided by the Military Departments, the correlation with manpower reports on the military and dependent population in various defense communities in order to determine the type medical facility needed to deliver the required healthcare. The analyses of reports from the Military Departments on the incidence of various diseases; the number of recruits rejected for health reasons and similar data of medical

interest.

Disposition: Permanent. Retire to the WNRC when 5 years old.

#### **904-02 Data Systems**

1. Documents describing medical data system requirements to the programming and operating facility.

2. User manuals of operable data systems.

3. Agreements for data systems support.

Disposition: Destroy 2 years after system discontinued.

4. Analyses and studies of data system requirements for health affairs.

Disposition: Destroy 1 year after supersession.

**904-03 Defense Enrollment Eligibility Reporting System (DEERS) Enrollment Data Base (NC1-330-90-5).** Duplicate copies of DD Form 1172, "Application for Uniformed Services Identification Card -- DEERS Enrollment," submitted by the Military Services to the DEERS Support Office, Monterey, California, and used to create a data base to provide a complete tracking and eligibility history for every eligible and past-eligible beneficiary of the DEERS. These documents exist in hardcopy format initially and are then written onto 12-inch optical disks after scanning, registration in the system, downloading, and quality control testing.

Disposition: a. Hardcopy version of DD Form 1172: Destroy once written to optical disk. b. Optical disks: Destroy primary and backup copies after 5 years.

#### **905 Utility Reviews and Quality Assurance**

**905-01 Utility Review.** Studies and analyses of areas of potential innovation and assessments of value to productivity-enhancing technology with a view towards the improvement of health services in the DoD.

Disposition: Permanent. Retire to the WNRC when 5 years old.

**905-02 Quality Assurance Studies and Analyses of Healthcare Quality.**

1. Standards.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

2. Studies and evaluations on a "when required" basis, not resulting in issuance of new standards.

Disposition: Destroy when 5 years old.

3. Studies and analyses that result in issuance of new standards.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

#### **906 CHAMPUS Records**

##### **906-01 Policy**

1. These documents are generally in the form of instructions to the DoD Components on the administration of the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) program. They establish such policy as eligibility under the program for active duty, retired, and dependents of the military; guidance on obtaining contract support; the creation of an accounting system to process claims and related matters.

Disposition: Permanent. Retire to Denver Federal Records Center (FRC) when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

2. Studies and reviews of developments and trends in the health industry that may impact on CHAMPUS.

Disposition: Destroy when 5 years old.

3. Analyses of CHAMPUS costs for various types of treatment to determine equitable pricing structure.

Disposition: Destroy when 5 years old. This is a continuous evolutionary process.

4. Analyses and preparation of the CHAMPUS budget.

Disposition: Destroy when 5 years old. This is input to the OSD budget process.

**906-02 Liaison Activities.** Coordination between industry organizations and professional associations; with healthcare

programs in the uniformed and other health agencies.

Disposition: Destroy when 10 years old.

## **907 Planning and Policy**

**907-01 Policy Analysis.** These files consist of studies made of the continuing need for health policies that are proposed or presently in the forms of directives or instructions. These files also coordinate the proposals of other offices on the need for healthcare legislation.

Disposition: Permanent. Retire to the WNRC when 5 years old.

**907-02 Mobilization Plans.** Coordination of medical aspects of emergency war and mobilization planning. Documents on liaison with FEMA.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

**907-03 Productivity Planning.** Studies and analyses whose purposes is to optimize efficiency in the healthcare program. The development of uniform standards to measure productivity. Some examples are the exploration of shared resources and the use of screening by a technician to save the doctor's time.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

## **908 Dental Affairs**

### **908-01 Policy**

1. The development, coordination, and issuance of directives and guidelines on dental policy for the DoD. This would include such policy matters as the limitation of dental care for military dependents, the joint utilization of personnel and facilities for dental care.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

2. The estimation of an equitable continuation pay for dental officers.

Disposition: Destroy 2 years after new estimates for legislative changes proposed.

3. Monitoring of the Dental Student Program.

Disposition: Destroy when 3 years old.

4. The establishment of standards for dental classification and specifications for conducting dental examinations.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete.

**909 Medical Affairs.** Development, coordination, and directives on the medical aspects of DoD programs (clinical and preventive medicine for the Armed Forces). Preparation of DoD Directives and Instructions on medical services programs in the DoD. Coordination of Federal medical professional activities.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

**910 Medical Readiness (NC1-330-80-12)**

**910-01 General.**

1. Speeches. Copies of speeches made by assigned personnel or by others on medical readiness.

Disposition: Destroy when no longer required for reference. The Public Affairs office has the record copies of speeches.

2. Committee and Conference Records. Documents on establishing, operating, and dissolving committees that consider, advise, take action, and report on specifically assigned functions. They include joint, interdepartmental, and international committees in which OSD participates as well as committees within principal components of the DoD. Included are proposals, approvals, and disapprovals to establish the committee; charters, terms of reference, and comments on them; directives establishing, changing, continuing, or dissolving the committee; documents nominating, approving, appointing, and relieving committee members; notices, agenda, minutes, and reports of committee meetings; and related documents.

Disposition: a. Office of the committee chairman or secretariat, whichever is designated office of record: Permanent. Cut off when no longer needed for current operations; retire to the WNRC 5 years after cutoff or when the committee is abolished, as prescribed for committee-type documents maintained in accordance with series 103-06.1. b. Offices of other committee members, destroy when no longer needed for current operations.

**910-02 Armed Services Medical Regulatory Office (ASMRO) Records.** Copies of capability reports and similar information from the ASMRO.

Disposition: Destroy when no longer required for reference, as authorized for records maintained in accordance with series 103-08.

**910-03 Audits.**

1. General Accounting Audits. Case files of audits of medical facilities or related to health affairs. The DoD Inspector General is the POC for internal and GAO auditing activity.

Disposition: Apply disposition schedule from Section 103-10.

2. Defense Audit Service Audits Case files of audits of medical facilities or related to health affairs.

Disposition: See Section 103-10.

**910-04 National Disaster Medical System/DoD-VA Contingency System.**

1. Agreements on concepts training, and other considerations relevant to a contingency plan for the use of non-Federal hospital facilities.

Disposition: Destroy 6 years after supersession, cancellation, or termination of the agreement, as appropriate for agreements maintained in accordance with series 103-04.

2. Special study reports.

Disposition: a. Reports of task groups are permanent. Retire to the WNRC when no longer needed for reference. b. Reference and non-record materials accumulated in the preparation of the study, destroy when no longer required for reference, as prescribed for documents maintained IAW series 102-18.

3. Documents on Directorate meetings.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

4. Documents on funding and reimbursement.

Disposition: Destroy after 5 years or on discontinuance, whichever is first, as prescribed for documents maintained in

accordance with series 103-03.3.

5. Documents on operations.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

**910-05 Exercises.** Documents on exercises between elements of the Department of Defense and other Federal Agencies or organizations.

Disposition: Destroy when no longer required for reference.

**910-06 International Affairs**

1. Documents on DoD relationship with Allied countries on medical readiness matters.

Disposition: Permanent. Under Secretary of Defense (Policy) offices retain the record copy of any agreements with foreign countries. The OASD(HA) retains any records created on medical readiness such as evaluations and other analyses. Retire to the WNRC when no longer required for reference.

2. Reference documents on medical facilities and readiness in Allied countries such as Defense Intelligence Agency (DIA) capability studies.

Disposition: Destroy when no longer required for reference.

**910-07 Chairman of the Joint Chiefs of Staff and Joint Staff Matters**

1. Copies of documents relating to medical readiness. Copies of capability assessments, readiness reports, and similar material.

Disposition: Destroy when no longer required for reference.

2. Documents created for readiness evaluation such as analyses of medical readiness; recommendations of a policy nature.

Disposition: Permanent. Retire to the WNRC when no longer required for reference.

**910-08 Military Medical Facilities.** Reference documents on survey of resources of military medical facilities.

Disposition: Destroy when no longer required for reference, as prescribed for documents maintained IAW series 103-08.3.

**910-09 Mobilization Planning**

1. Documents on the medical aspects of emergency war and mobilization planning. Documents on liaison with other activities such as the FEMA.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

2. Reference material.

Disposition: Destroy when no longer needed for reference.

**910-10 Medical Resource Requirements.**

1, Studies and forecasts of wartime medical resource requirements obtained through modeling techniques.

Disposition. Permanent. Retire to the WNRC when no longer needed for current business.

2. Reference material.

Disposition: Destroy when no longer needed.

2. Studies and forecasts by other agencies.

Disposition: Destroy when no longer required for reference (See Section 904-02).

**910-11 Nuclear, Biological, and Chemical Warfare.**

1. Evaluations and policies on nuclear, biological, and chemical warfare related to medical readiness.

Disposition: Permanent. Retire to the WNRC when no superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

2. Reference material on nuclear, biological, and chemical warfare on medical readiness.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for reference papers maintained IAW series 103-08.3.

**910-12 Planning, Programming, Budgeting System.**



1. Background papers on medical readiness budget matters.

Disposition: Permanent. Retire to the WNRC when no longer needed for reference.

2. Reference documents on the budget system, including policy guidance and copies of Program Objective Memoranda (POM).

Disposition: Destroy when no longer required for reference. See Section 303-02.3 for disposition.

**910-13 Reserve Affairs.**

1. Copies of policy documents on the readiness posture of the Reserve forces.

Disposition: Destroy when no longer required for reference.

2. Studies, reports, and analyses of Reserve posture.

Disposition: Permanent. Reviews and analyses of a formal nature. Retire to the WNRC when no longer required for reference.

**910-14 Wartime Skills Training.**

1. Training policy on medical readiness training.

Disposition: Permanent. Retire to the WNRC when superseded, obsolete, or no longer needed for reference, as prescribed for policy-type documents maintained IAW series 103-01. longer required for reference.

2. Training policy reference material.

Disposition: Destroy when superseded, obsolete, or no longer required for reference, as prescribed for documents maintained IAW series 103-08.3. See Section 903-02 for record material.

3. General File.

a. Correspondence, memoranda, agreements, authorizations, reports, requirement reviews, plans, and objectives on the establishment and operation of training courses and conferences.

Disposition: Destroy when 5 years old or 5 years after completion of a specific training program.

b. Background and work papers.

Disposition: Destroy when 3 years old.

4. Individual Training. Documents on the availability of training and participation in training programs sponsored by other Government agencies or non-Government institutions.

Disposition: Destroy when 5 years old or when superseded or obsolete, whichever is sooner.

### **911 OCHAMPUS Files**

#### **911-01 CHAMPUS Contractor Claims Records (NC1-330-92-5).**

These files consist of any record, whether paper copy, microform or electronic media, acquired or used by the fiscal intermediary (FI)/contractor in the development and processing of CHAMPUS CHAMPVA claims. These records include but are not limited to: claims (CHAMPUS claims or other forms approved by OCHAMPUS) receipts (itemized statements); medical reports (operative or daily nursing notes, lab results, etc.) authorization forms; nonavailability statements; certifications of eligibility; double coverage information; completed third party liability guardianship); peer reviews and other correspondence that support payments to beneficiaries, physicians, and other suppliers of service under CHAMPUS.

a. Paper records that are not microfilmed.

Disposition: Close out at end of the calendar year in which received; hold 1 additional year; and transfer to the FRC. The FRC will destroy after an additional 5 years retention.

b. Paper records that have been microfilmed.

Disposition: Destroy paper upon verification of microfilm, or as directed by OCHAMPUS.

c. Microform/Electronic Media.

Disposition: Close out at end of the calendar year in which created; hold on-site 6 additional years.

**911-02 CHAMPUS Benefit Check Records (NC1-330-77-16).** These files consist of paid checks which contractors receive from banks covering amounts paid to beneficiaries and/or sponsors, physicians, and other suppliers of service under the CHAMPUS program. Also included are check vouchers and canceled or voided checks resulting from nonreceipt, loss, theft, or nondelivery

where the beneficiary and/or sponsor cannot be reached.

Disposition: Close out at the end of the calendar year in which paid, or voided, as applicable; hold 1 additional year; and retire to the FRC. The FRC will destroy after an additional 5 years' retention.

**911-03 Explanation of CHAMPUS Benefit Records (NC1-330-92-5).** These files consist of explanation of CHAMPUS benefit notices Champus' Explanation of Benefits (CEOB's) used to advise beneficiaries/sponsors about CHAMPUS claims. Included are forms that are developed locally by contractors regarding explanation of CHAMPUS benefits.

a. Paper records that are not microfilmed.

Disposition: Close out at end of the calendar year in which issued; hold 1 additional year; transfer to the FRC; destroy after 5 years.

b. Paper records that have been microfilmed.

Disposition: Destroy upon verification of microfilm, or as directed by OCHAMPUS.

c. Microform/Electronic Media.

Disposition: Close out at the end of the calendar year in which created; hold on-site 6 additional years.

**911-04 Appeals and Hearings Case Files - CHAMPUS Program (NC1-330-86-1).** These files accumulate when a beneficiary and/or sponsor, physician, or supplier of service is dissatisfied with the contractor's determination denying a request for payment, or with the amount of the payment, or when the individual believes that the request for payment is not being acted upon with reasonable promptness. Included are copies of the claimants' request for review, together with relevant written statements or evidence, notices or review decision, requests for a hearing to protest adverse decisions, hearing proceedings, hearing officers' to protest adverse decisions, hearing proceedings, hearing officers' final decisions, and other papers resulting from the appeals process.

Disposition: Place in inactive file upon final action on the case. Close out inactive file at the end of the calendar year in which action was taken, hold 1 additional year, and retire to the FRC. Destroy after 5 years' retention in the FRC.

**911-05 Contractor Subcontractor Files.** These files consist of copies of contractor agreements with subcontractors, leases for building space, equipment, and consulting and other services. Included are OCHAMPUS approvals, amendments, and similar papers.

**Disposition:** Close out at the end of the calendar year in which paid, or voided, as applicable; hold 1 additional year; and retire to the FRC. The FRC will destroy after an additional 5 years' retention.

**911-06 CHAMPUS Provider Authorization File (NC1-330-81-8).**

1. Certification of Institutional Providers of Healthcare Cases Files. These files consist of certification of institutional providers of healthcare as authorized CHAMPUS providers that meet all applicable provisions of law and regulation. The files include: CHAMPUS forms, correspondence, and related documents certifying that each provider (institutional entity that provides medical services or supplies on an outpatient or inpatient basis) meets the criteria in the CHAMPUS Regulation, DoD 6010.8-R (reference (aa)). They also include insure compliance with CHAMPUS standards, investigation of complaints, termination and reinstatement of providers, and assessment of the operational effectiveness of the provider certification program.

**Disposition:** Place in inactive file upon completion of the final action, cutoff inactive file at the end of the calendar year in which final action was taken, hold for 2 additional years, and retire to the OCHAMPUS Records Holding Area (RHA). Destroy after 3 years retention in the RHA.

2. Health Facilities Registry File. This file consists of a computer printout registry of CHAMPUS-approved institutional providers of healthcare. The file includes the following categories of providers: Residential Treatment Centers, Specialized Treatment Facilities, and Program for the Handicapped. (The registry is compiled from data contained in file "1." above.)

**Disposition:** Destroy when superseded by a new registry.

**911-07 CHAMPUS Recoupment Files (NC1-330-92-5).** These files consist of all documents used to develop and execute recoupment cases at the contractor and OCHAMPUS level. The files include: copies of CHAMPUS claim forms, correspondence and related documents, Explanations of Benefits, checks, investigative reports, court documents and other documents required to collect debts owed the government. Information from these files may be given to consumer credit agencies.

**Disposition:** Place in inactive file upon completion of the

final action, cut off inactive file at the end of the calendar or fiscal year in which final action was taken, hold 1 year, transfer to the FRC, destroy after 5 years.

**911-08 Fraud and Abuse File (NC1-330-86-2).** These files consist of control forms, background papers, development records, external agencies reports/letters/investigative records, contractor products of processing, Utilization Review and Medical Analysis papers, and other documents required to process fraud and abuse cases.

**Disposition:** Place in inactive file upon completion of the final action, cut off inactive file at the end of the calendar year in which the final action was taken, hold 1 year, and transfer to the FRC. FRC will hold for an additional 5 years.

**911-09 OCHAMPUS Litigation Files.** These files consist of OCHAMPUS copies of documents which are forwarded to the Department of Justice for litigation cases in which CHAMPUS is party.

**Disposition:** Place in inactive file upon finalization of the case, cut off inactive file at end of the calendar year in which final action taken, hold 1 year, transfer to FRC. FRC will hold for an additional 5 years.

**911-10 OCHAMPUS Legal Opinion Files.** These files consist of records from various legal files which are maintained for legal opinion purposes only.

**Disposition:** Destroy when no longer needed for reference.

**911-11 CHAMPUS Medical Care Grievance Case Files.** (NC1-330-94-1.) These files consist of beneficiary's written complaints of an OCHAMPUS provider, health care finder, or other contractor or subcontractor personnel to furnish the level or quality of care and/or service to which the beneficiary may believe they are entitled. This category includes the record of the contractor's review and findings, the response to the aggrieved party and, where appropriate, the record of the corrective action taken.

**Disposition:** Cut off at the end of the CY in which case is closed. Hold in CFA one additional year and retire to FRC. Destroy after 5 years.

**912 Uniformed Services University of the Health Sciences (USUHS) Student and Academic Record Files** (NC1-330-88-3)

**912-01 Registrar's Student Promotions Committee (SPC) Files.**

Originals of proceedings of SPC on proficiency, deficiency, graduation, deceleration and/or disenrollment of medical students and other matters referred to the SPC. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Cut off (COFF) upon graduation, transfer, withdrawal, or death (GTWD) of a student and incorporate in 912-02 (NC1-330-88-3, Item 1).

**912-02 Registrar's Academic and Training Progress Files.** Individual case files of medical student training including student's academic credit transcripts which list grades and credit hours for each class; results from medical board tests; teacher evaluations with final grade in each subject and/or reason for noncompliance (SPC correspondence, if applicable); correspondence regarding state licensure certification procedures or personal requests for academic transcripts and records related to individual training projects. This file also includes records retired there from 912-01. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: COFF upon GTWD of student; hold in CFA 20 years; RET to the WNRC; DEST 50 years after GTWD (NC1-330-88-3, Item 2).

**912-03 Continuing Nursing Education Program Records.** Individual nursing program records containing documentation required for accreditation by the American Nurses Credentialing Center's Commission of Accreditation.

Disposition: COFF annually (CY); hold in CFA 5 years and RET to the WNRC; DEST 10 years after COFF (NC1-330-88-3, Item 7).

**912-04 Matriculant Graduate School Records.** Individual student records containing required documents for application/selection/completion of program. Each record also contains records on education, indicating subject studies, number of quarter credit hours, final grade in each subject, and/or reason for non-completion of the course. Also includes other related documents required by college/university accrediting organizations. This file contains information protected under the Privacy Act of 1974 (WUSU05).

Disposition: COFF upon GTWD of student; hold in CFA 5 years; RET to the WNRC; DEST 50 years after GTWD (NC1-330-91-2, Item 4).

**912-05 Nonmatriculate Records Files.** Application records of medical and graduate students who were selected to attend USUHS but did not actually matriculate and records of applicants who did not successfully meet all entrance requirements and for those who chose to withdraw during the application process (WUSU04).

Disposition: COFF at end of school year (May); DEST in CFA 3 years after student's nonmatriculate date (NC1-330-88-3, Item 5).

**912-06 Continuing Medical Education Committee (CMEC) Files.** Originals of proceedings of CMEC regarding all matters relating to establishment of USUHS- sponsored CMEC programs; other materials referred to the CMEC. This file contains no policy material (NC1-330-88-3).

Disposition: COFF upon GTWD, hold in CFA 3 years; TRF to WNRC; dest after 50 years.

**912-07 Continuing Medical Education Program Records.** Individual CME Program records containing documentation required for accreditation by the Accrediting Council for Continuing Medical Education (ACCME), the American Nurses Credentialing Center's Commission of Accreditation, or other CME accrediting body.

Disposition: COFF annually (CY), hold in CFA 6 years and RET to the WNRC; DEST 10 years after COFF.

**912-08 Matriculant Admissions Files for Medical School.** Contains letters of application, letters of recommendation, and general correspondence. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: COFF upon GTWD of student; hold in CFA 20 years; RET to the WNRC; DEST 50 years after GTWD.

**912-09 Student Exam Files.** Arranged by class and include copies of examination booklets, answer sheets, testing materials, correspondence, and other documentation pertaining to the administration and control of student testing (NC1-330-91-2).

Disposition: DEST when superseded or when no longer needed.

**912-10 Teaching and Coursework Files.** Includes instructional materials developed by the university teaching faculty for both the four-year Medical Education and Graduate Education programs. Maintained by teaching departments and arranged by course catalog number or subject.

1. Syllabuses, course outlines, handouts, textbooks, manuals, and other instructional materials and teaching aids, to include reprints of published medical literature used in the classroom.

Disposition: a. Uniquely relevant military courses or

curriculum: PERMANENT. COFF upon revision or discontinuance. RET to WNRC 5 years after COFF; TRF to NARA 25 years after COFF.  
b. Regular medical school or graduate school courses: update periodically and destroy when no longer need for reference.

2. Course announcements; academic calendars consisting of course rotation schedules for 1st - 4th year students or graduate school equivalent; general correspondence, reports, agreements, authorizations, reviews, plans, objectives and other types of records relating to the development, implementation, and administration of the university's teaching program; lecture notes.

Disposition: DEST when no longer needed.

**912-11 Instructor's Individual Medical Student Record Files.** These are files kept for the convenience of the teaching staff which consist of materials duplicated in or not appropriate for inclusion in the Academic and Training Progress Case Files, 912-02, or other series described elsewhere in this section. Examples of documents that might be kept in these files are records of individual student rotation assignments, elective assignments, student evaluations, clinical clerkships. These files contain information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Review at the end of each academic year, DEST or carry forward contents, as appropriate; upon GTWD of student, DEST or TRF to the registrar's files, as appropriate.

**912-12 Instructor's Individual Graduate School Record Files.** These are files kept for the convenience of the teaching staff which consist of materials duplicated in or not appropriate for inclusion in the Matriculant Graduate School Record Files, 912-04 or other series described elsewhere in this section. Examples of documents that might be kept in these files are records of individual student assignments, elective assignments, student evaluations, or other related records. These files contain information protected under the Privacy Act of 1974 (WUSU03).

Disposition: Review at end of each of each academic year, DEST or carry forward the contents, as appropriate. DEST when no longer needed.

**912-13 Student Theses and Dissertations Files.** Copies of master's theses and doctoral dissertations submitted as requirements for award of an advanced degree in the basic medical sciences. Copies are submitted by each student as follows: one to the university library; one to the department library; one to the Office of Graduate Education.

Disposition: Office of Graduate Education: Permanent.



Hold in the CFA for 10 years after date of publication and RET to the WNRC; retire to the NARA after 25 years.

**913 USUHS Faculty Files.** Use for those files maintained by individual faculty that are usually reference in nature and described elsewhere in this schedule.

**913-01 Outside Affiliations.** These are files consisting of information pertaining to outside professional organizations with which faculty members are affiliated as officers, fellows or participants, and may consist of correspondence, agendas, minutes of meetings, newsletters, reports, or other pertinent materials. They are maintained by or for individual faculty members for ease of reference. Care should be exercised to ensure that information maintained in this file is pertinent to faculty members' USUHS appointment. Affiliations may include but are not limited to such organizations as the American College of Cardiology, American Society for Clinical Investigation, American Federation for Clinical Research, American College of Physicians, Association of American Medical Colleges, Association of American Physicians, Association of Program Directors in Internal Medicine, and American Heart Association.

**Disposition:** Review periodically and DEST material that is no longer needed or appropriate for continued inclusion.

**913-02 Medical & Scientific Journal Publications.** These files consist of manuscripts, articles and abstracts written by faculty members in connection with their work at the university for publication in various medical journals such as American Journal of Cardiology, Medical Times, Internal Medicine, or Family Physician. May contain both published articles and original manuscripts. Arranged by author's name and/or division. May also include papers reviewed by USUHS staff.

**Disposition:** Review periodically and DEST when no longer needed for reference purposes.

**914 USUHS Biomedical Research Files.** These files include records related to the planning, development, and oversight of specific projects and programs of biomedical research performed by USUHS scientists or contractors; experimental, observational and control data; and reports, articles, and data sets.

**914-01 Experimental and Statistical Data Files.** These files consist of logs, notebooks, cards, forms or other media on which observations and data are recorded; records on patients or volunteers; interviews, questionnaires, examinations, or lab tests, including machine readings and data from slides, specimens

or cultures; copies of abstracts of non-clinical records on individuals such as birth and death certificates; records created in processing and analyzing data related to or resulting from the project, including indexes, code cards and sheets, charts, graphs, punch cards, computer output, tabulations, diagrams or drawings; and intermediate compilations or analyses and progress reports with feeder reports and background material.

**Disposition:** a. End products such as Progress Reports of findings and conclusions: PERMANENT. COFF when project is concluded; RET to the WNRC after 5 years; TRF to the NARA 20 years after COFF. b. DEST all other materials when no longer needed for research or reference purposes.

**NOTE:** a. Those experiments involving human subjects and/or deemed to be of historical significance should be reappraised on an individual basis for permanent retention. Such experiments might deal with a cure of a disease, a major scientific discovery, a major health program, or other event generating great media, public, or historic interest. Notify NARA so that an analysis and appraisal of these experiments can be conducted and appropriate disposition authorized. b. Files created in the course of research undertaken at the request of non-DoD agencies, e.g., the NIH, are not covered by this schedule, must be clearly identified, and must be kept separate from Defense-related work.

**915 USUHS Intra- and Extramural Research Protocol and Grant Administration Files.** This section applies to protocols and grants awarded to the USUHS or the Henry M. Jackson Foundation for the Advancement of Military Medicine (HMMJ) which are maintained by the Research Administration Office.

**915-01 Research Protocols and Grants.** These files contain the official copy of the protocol or grant describing the nature of the proposed research, methodology involved, projected aims and justifications, notations and records of approval actions, names of principal investigators, project reviews, and related correspondence and memoranda. Files are arranged by investigator's name and Research Administration control number. Files may be maintained in the following status categories -

1. Pending - Waiting approval/disapproval and action by grantor.
2. Active - Currently in an approved/funded status having passed all stages of review.
3. Historical - Consist of disapproved, unfunded, and withdrawn applications and include total application, summary of review actions, and notification that no award will be made. Also consist of previously active grants which have expired or terminated.

**Funded Grants and Awards Case Files.** These files consist of individual case folders containing the total application, summary of review actions, award notices, progress reports, financial

records, audit records, close-out documents and other supporting and related papers maintained as an identifiable entity. They include research project grants, fellowships, training grants, and similar types of grants and awards.

**Unfunded Grants or Awards.** These files consist of disapproved, withdrawn and non-funded grant applications and include the total application, summary of review actions, and notification that no award will be made. (WUSU09)

**Disposition:** a. COFF on close-out or expiration of protocol/grant or disapproval of award; hold in Current Files Area (CFA) for 8 years after COFF, RET to the WNRC, DEST 13 years after COFF. **NOTE:** Those projects involving human subjects and/or deemed to be of historical significance should be appraised on an individual basis for permanent retention. Such projects might deal with cure of a disease, a major scientific discovery, a major health program or other event generating great media, public, or historic interest. Notify the NARA so that an analysis and appraisal of these projects can be conducted and appropriate disposition authorized. b. All animal protocols will be sent to Laboratory Animal Medicine for disposition 8 years after program expires. Those records deemed to be permanent will be retired as above. All other animal use protocols will be RET to the WNRC and destroyed after 13 years after COFF. c. All other offices, DEST 1 year after research project is concluded.

**915-02 Grant Control Files.** Indexes, registers, logs or other records relating to control of assigning numbers or identifying project applications and grants.

**Disposition:** Destroy when superseded or obsolete (GRS 3, Item 14) (reference (p)) Electronic format (GRS 20, Item 3; GRS 3, Item 14) (reference (p)).

**915-03 Grant Administration Files.** Correspondence and/or subject files relating to routine operations and daily activities in administration of the grant program.

**Disposition:** Destroy when 2 years old (GRS 3, Item 14) (reference (p)).

**916 USUHS Automated Database Files.** This section is reserved exclusively for electronic databases created specifically to facilitate data production requirements unique to the USUHS administrative support programs.

**916-01 College and University Financial System (CUFS).** This

database is maintained by the CUFS Project Office System Manager and provides end users logistical, contracting, and financial management information such as payroll, fund status, order and requisition tracking, and purchase and requisition order tables. Hard copy reports are generated as scheduled by users on a daily, weekly, biweekly, monthly, quarterly, annual, or as-required basis. System backups are performed on a monthly and annual basis on magnetic tape or other storage media. This file contains information protected by the Privacy Act of 1974 (WUSU02, WUSU17 and WUSU18).

Disposition: Monthly backup files are scratched after 3 years; annual backups after 6 years. Hard copy output is incorporated into user files and is disposed of according to the appropriate subject series descriptions found elsewhere in this Instruction.

**916-02 Automated Faculty Curriculum Vitae Files.** This database is maintained by the Civilian Personnel Directorate and includes fields describing basic biographical and professional qualifications data on academic faculty members. Hard copy output is furnished users upon request.

Disposition: Delete individual entries when faculty appointment is terminated. Delete file when system is superseded. (For disposition of non-electronic files, see 922-02.)

**917 USUHS Department of Laboratory Animal Medicine.** This series consists of files pertaining to the operation of the LAM that are not described elsewhere in this Instruction.

**917-01 Animal Health Records.** These consist of health care records for all in-house animal populations of the LAM maintained by the Veterinary Medicine Division and include SF 600, "Chronological Record of Medical Care," weight charts, records of surgical procedures, anesthesiology records. Files are grouped by species (dogs, goats, pigs, cats, pigeons, etc.) and within species by USDA tag number or LAM's internal control numbers.

Disposition: Cut off 5 years after death of animal or 3 years after completion of protocol, whichever is later. At the end of this period animal health records and protocols (excluding non-human primates) will be destroyed. Non-human primate health records and non-human primate protocols will be RET to the WRNC and DEST 50 years after COFF.

**917-02 Animal Husbandry Files.** These records are maintained by the Animal Husbandry Division and are used to monitor the condition and status of in-house animal populations and to human contacts with each animal. They consist of inventories kept by species and protocol number, records of temperature and humidity

in animal rooms, and information on animal caretakers or technicians documenting each person's work schedule. These records are maintained on inventory sheets, in log books, and in a main-frame computer.

Disposition: a. Inventory Sheets. DEST inventory sheets when superseded. Electronic data may be dumped when no longer needed for backup. b. Log Books for Animal Caretakers. Record keeping consists of two log books, one for individual animal caretakers' Time and Attendance, and one for animals cared for on an individual day. COFF log books at end of calendar year, hold in CFA for 3 years, RET to the WNRC, DEST 72 years after COFF.

**918 USUHS University Affairs.** These files contain records promoting the continuation of esprit among University graduates of all the Services.

**918-01 USUHS Alumni and Student Information.** Records relating to alumni and current students, including employment and residency information, correspondence, and other related records. These files contain information protected under the Privacy Act of 1974 (WUSU18).

Disposition: DEST when superseded, obsolete, or no longer needed for reference.

**919 USUHS Pharmacy Files.** These files are maintained by the USUHS Pharmacy which provides departments with necessary pharmaceutical required for laboratory and research protocols.

**919-01 Pharmacy Controlled Substance Form (USUHS 6048 or successor).** Controlled Form having registered numbers and used to account for receiving, issuing, and administration of controlled substances by the Pharmacy. This Form is used to log controlled substances. Requester will be notified upon arrival of substance.

Disposition: DEST when 10 years old.

**919-02 Departmental Controlled Substance Form (USUHS 6049 or successor).** Controlled Form having registered numbers and used to account for receiving, issuing, and administration of controlled substances by departments or an investigator. Custodians of controlled substances are responsible for safeguarding and maintaining accountability of controlled forms and substances issued to them. Accountability includes documentation of specific date and time when used, species and identification numbers of animals involved with its use, amounts

issued, returned or administered, and on-hand balances. Full sheets are returned to Pharmacy and new sheets issued if a balance remains.

Disposition: DEST when 10 years old.

**919-03 Pharmacy/Departmental Controlled Substances** (USUHS Form 6047 or successor). Receipt and issue records for controlled substances maintained for accountability purposes.

Disposition: DEST when 10 years old.

**919-04 Pharmacy Controlled Substance Sealing Log** (USUHS Form 6054 or successor). Maintained by the Pharmacy for accountability of controlled substances sealed for storage by the Controlled Substance and Alcohol Inventory Board (CSAIB).

Disposition: DEST when 10 years old.

**919-05 Controlled Substances and Alcohol Inventory Board Inventory Report** (USUHS Form 6019 or successor). Used by the CSAIB to report the results of all inventory actions.

Disposition: DEST when 4 years old.

**919-06 Request for New Supplies/pharmaceutical** (USUHS Form 6417 or successor). To request new items be added to those stocked in the Pharmacy.

Disposition: DEST when 2 years old.

**919-07 Controlled Substances Temporary Issue Receipts** (USUHS Form 6058 or successor). Prepared by Controlled Substance Custodian (CSC) for items leaving the physical facility of USUHS for use at a different location. Yellow copy is retained by Custodian.

Disposition: DEST when 10 years old.

**919-08 Controlled Substance Accountability Worksheets - A** monthly accountability of controlled substances within a specific department. Prepared by department CSC.

Disposition: DEST when 3 years old, purging once a year.

**919-09 Absolute Alcohol Storage Sheets** (USUHS Form 6055 or 6056 or successor). Completed by investigators, staff and faculty to keep accountability of absolute alcohol stored in department fire cabinets. These sheets will be bound in the "USUHS Pharmacy alcohol Usage Notebook" issued by the Pharmacy to the CSC.

Disposition: DEST one year after last entry in log.

**919-10 Controlled Substances and Alcohol Survey**  
**Request/Report** (USUHS Form 6016 or successor). Disposal reports of controlled substances that are no longer needed.

Disposition: DEST when 10 years old.

**919-11 Department of Justice/Drug Enforcement Administration**  
**"Registrants Inventory of Drugs Surrendered"** (DEA Form 41 or its successor). Prepared by the Pharmacy Officer and submitted to DEA to account for the destruction of controlled substances.

Disposition: DEST when 10 years old.

**919-12 Prescription Drugs** (not controlled drugs). This file includes hand receipts for drugs, needles, and syringes furnished authorization personnel for use in research only.

Disposition: DEST when 10 years old.

**919-13 Controlled Substances Class I-V**  
This file consists of copies of the following forms (or their successors): USUHS 6048, "Pharmacy Controlled Substance Form"; USUHS 6049, "Departmental Controlled Substance Form"; USUHS 6047, "Pharmacy/Departmental Controlled Substance"; USUHS 6054, "Pharmacy Controlled Substance"; USUHS 6019, "Controlled Substances and Alcohol Inventory Report"; USUHS 6007, "Use of Biohazards, Controlled Substances, and Dangerous Materials"; USUHS I-6404, "Controlled Substances Temporary Issue Receipt"; USUHS 6058, "Controlled Substance Temporary Issue Receipt"; USUHS 6016, "Controlled Substances and Alcohol Survey Request/Report"; DEA Form 41, "Registrants Inventory of Drugs Surrendered"; and department controlled substances accountability worksheets.

Disposition: DEST when 10 years old.

**920 USUHS Environmental Health and Occupational Safety Files.**  
These files are maintained by the Environmental Health and Occupational Safety (EHS) Division and pertain to the health and safety programs unique to the USUHS. They include data on radiation dosimetry, radiation monitoring, radioactive waste disposal, accidents involving radioactive materials, testing, inspection and calibration of equipment, and radiation safety training and Occupational Health Branch.

**920-01 Radiation Protection Surveys.** X-ray Surveys - Reports of local x-ray system surveys. Includes x-ray system measurements, evaluation of system for compliance with Federal

Regulations, and recommendations.

Disposition: DEST when 5 years old (10 CFR 20.2103) (reference (r)).

**920-02 Radiation Protection Surveys - Radioisotope Laboratories.** Reports of laboratory surveys for compliance with Federal and USUHS Regulations. Includes tests for radioactive contamination of laboratories and or equipment.

Disposition: DEST when 5 years old (10 CFR 20.2103) (reference (r)).

**920-03 Radiation Protection Surveys - Radioisotope Packages** Reports of surveys for radioactive contamination of incoming or outgoing packages.

Disposition: DEST when 5 years old (CFR 20.2103) (reference (r)).

**920-04 Radiation Protection Training.** - Information about preparing and presenting local training courses on methods of controlling, preventing, and dealing with exposure of people and the environment to ionizing radiation. Included are locally developed training materials, aids, notifications of training sessions, rosters of graduation from courses with grades and attendance dates, and similar information. This file contains information protected under the Privacy Act of 1974 (WUSU08).

Disposition: a. Information relating to training materials, aids, and notification of courses: Dispose of when superseded or obsolete. b. Training attendance, grades and dates of attendance: Maintain on site. DEST upon termination of license, following NRC instructions.

**920-05 Radiation Standard Operating Procedures (SOPs)** - SOPs maintained by radiation safety officers that prescribe procedures for procurement, use, disposal, and control of radiation sources.

Disposition: DEST when SOP is superseded or on disposition of the radiation source, whichever is sooner.

**920-06 Radiation Analyses.** Information on detecting and recording levels of radiation or radioactivity in material samples or objects, and the environment where materials are used. Included are chemical and radiation analysis reports, process control analysis reports, leak and wipe tests, air biological, water, soil and vegetation samples and similar reports, logs, or information.

Disposition: Retain for 5 years and DEST in CFA (10 CFR 20.2102 and 10 CFR 35.59(d) (reference (r) (reference (bb))).



**920-07 Radionuclide Experimental Authorization (REA).**

Information containing authorization for a Principal Investigator to use radioactive material. All information such as application to use material, requests for user status, requests for protocol reviews, and information needed to maintain the REA are included.

**Disposition:** Maintain on site. DEST upon termination of license (10 CFR 20.2102(b) (reference (r))).

**920-08 Radiation Sources Accounting Files.** - Information accumulated by radiation safety personnel in controlling the receipt, retire, use, storage, and disposal of radioactive materials and other radiation sources. Included are records of material movements, instructions concerning movements, registers, issue receipts, inventory and material accounting records, waste disposal reports, computer data bases, and similar information.

**Disposition:** a. Information related to sealed sources: DEST 5 years after final disposition of source (10 CFR 35(d) (g) (reference (bb))) b. Records of radioactive waste disposal: Maintain on site. DEST upon termination of license, following NRC instructions (10 CFR 20.210(b)(4) (reference (r))).

**920-09 Personnel Dosimetry Files.** Information on recording and reporting external or internal exposure to ionizing radiation. Included are records of all dosimeters processed for evaluation, consolidated reports of dosimeter evaluations, DD Forms 1141 (Record of Occupational Exposure to ionizing Radiation), and similar information. This file contains information protected under the Privacy Act of 1974 (WUSU10, WUSU13).

**Disposition:** a. Administrative data pertaining to administering program, and individual requests maintained: DEST 5 years after the individual terminates from USUHS (10 CFR 20.2104(f) (reference (r))). b. DD Forms 1141 (or successor): Maintain on site. DEST upon termination of license (10 CFR 20.2106(f) (reference (r))). c. Bioassay Data and Calculations: Maintain any positive results on site and DEST when 75 years old. Negative results may be destroyed when 5 years old (10 CFR 20.2106(f) (reference (r))).

**920-10 Radiation Safety Committee Files.** Information relating to review, evaluation and approval or disapproval of the use of sources of ionizing radiation; procedures and conditions controlling such uses; and qualifications of individual users. Included are minutes of meetings, recommendation pertaining items considered by the committee and similar information.

Disposition: Maintain on site. DEST upon termination of license (10 CFR 20.2102(b) (reference (r))).

**920-11 Radiation Inspections.** Information that supplements surveys at local levels. It evaluates and provides guidance on eliminating potential hazards using radiation sources. Such inspections will be provided by the Nuclear Regulatory Commission, Department of Defense, or other Federal Agencies.

Disposition: a. NRC Inspections: Maintain on site. DEST upon termination of license, following NRC guidelines (10 CFR 20.2102(b) (reference (r))). b. Other Inspections: DEST when 5 years old or on completion of the next comparable survey, whichever is sooner (10 CFR 20.2102 (b) (reference (r))).

**920-12 Radiation Incident Files.** Information about investigating and reporting cases of overexposure of individuals and the environment to ionizing radiation; and comparable incidents involving radioactive materials. Included are telegraphic reports of incidents, reports of overexposure, ALARA investigations, laboratory spills, reports of loss or theft of radioactive materials, and similar information. This file contains information protected under the Privacy Act of 1974 (WUSU11).

Disposition: a. Overexposure and ALARA reports. Maintain on site. Destroy when 75 years old (10 CFR 20.2106(f) (reference (r))). b. Other Reports: Destroy when 30 years old (10 CFR 20.2106(f) (reference (r))).

**920-13 Radioactive Material Licensing.** Information relating to obtaining a Nuclear Regulatory Commission (NRC) License to procure and use ionizing radiation sources. Included are license applications, coordinating actions, licenses, permits, and amendments thereto, and similar information.

Disposition: Maintain on site. DEST upon termination of license.

**920-14 Instrument and Source Calibration Files.** Information on calibrating radiation sources and instruments that measure radiation. Included are calibration logs, manufacturers and locally developed calibration forms, records pertaining to calibration frequency, and similar information.

Disposition: a. Calibration Certificates: DEST 3 years after disposal of the related radiation sources (10 CFR 20.2103) (reference (r))). b. Logs and other papers: DEST when 5 years old (10 CFR 20.2103(a)) (reference (r))).

**920-15 Bioenvironmental Engineering Case Files.** These files consist of records created in the course of monitoring health and

safety conditions in the workplace and include annual health and safety survey reports, occupational exposure evaluations, assessments and controls data, hazardous material and agent information, and environmental assessments and worksite management practices (WUSU14).

Disposition: Review each file at the end of the calendar year and COFF inactive materials; RET in CFA for 10 years and RET to WNRC; DEST 40 years after COFF (20 or 29 CFR 1910.20) (reference (t)).

**920-16 Hazardous Waste Manifests.** These files are maintained in the Bioenvironmental Engineering Branch and consist of internal manifests of hazardous material disposal.

Disposition: a. Internal manifests. DEST when 5 years old (40 CFR 262.40) (reference (cc)). b. DD 1348-1, Released/Receipt Document. Maintain on site. DEST upon termination of license, following EPA guidelines.

**920-17 Bioenvironmental Engineering Database.** Computer data base for management of BEE information such as chemical inventories, facility utilization, workload scheduling and other such information pertinent to monitoring ongoing programs. Backups are performed weekly.

Disposition: Delete information in the data base when no longer needed. (See 920-08 for related records.)

**920-18 Log and Summary of Occupational Injuries and Illnesses** (USUHS Form No. 200, or successor). Records injuries and illnesses and notes of the extent and outcome of each case. Not every injury or illness occurring in the workplace is recordable.

Disposition: Maintain on site. DEST when 75 years old.

**920-19 Supervisor's Report of Accident.** Consists of EHS Form 6012 (or successor) "Supervisor's Report of Accident," which serves as an additional record of information pertaining to on-the-job injuries or incidents.

Disposition: Maintain on site. DEST when 75 years old.

**921 Multidiscipline Laboratories (MDL).** The MDL is the home base of operations for the medical students including a laboratory work and studying area.

**921-01 The National Board of Medical Examiners (NBME) File.**

Comprehensive Part I and Part II given twice a year to second year medical students. Also includes subject examinations given throughout the year to first through fourth year medical students. These tests function as elements of the certification process for medical licensure and as measures of academic achievement in individual disciplines. Assistant Dean, Teaching & Research Support (ADTRS) & Multidiscipline Laboratories (MDL) are responsible for the administration and security of all NBME test materials from the date of receipt to the date of their return to the National Board. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: a. Executive Chief Proctor (TRS) Chief Proctor (MDL): General correspondence with the Board, orders for tests, correspondence to staff and faculty concerning examinations and preparation for proctoring of examinations, internal memos to request the test sites be in order, and bills for the examinations: DEST 5 years after exam is administered. b. Registrar's Office: Individual scores, class records, composite lists, statistical information, and departmental information (some of this information is on tape); general correspondence from prior years held in Registrar's Office consolidated with TRS: COFF upon GTWD of student; hold in CFA 20 years; RET to the WNRC; DEST after 50 years. c. Academic Departments: Refer to USUHS Schedule Number 912-09. d. Board of Medical Examiners: Original answer sheets and booklets are returned to NBME.

**921-02 Anatomical Gift Program Files.** Files on individuals who plan to have or have donated their bodies to medical science. Consists of original legal documents of certificate of Body Donation or Certificate of Body Donation by Next of Kin; and State Death Certificate Burial-Transit Permit, and Authority to Cremate. Also contained in folder are Report on Medical history, vital statistics request for Medical/Dental Records Death Call Worksheet, Lab Reports, Authority to Cremate, copies of all correspondence.

Disposition: a. Individual donor case files (accepted) COFF upon cremation and/or interment of donor's remains or their return to next-of-kin; hold files in Anatomical Teaching Laboratories for 5 years, then RET to the WNRC; DEST 75 years after COFF. b. Individual donor case files (pending). Review periodically. DEST any files when no longer needed.

**922 Civilian Personnel Academic Appointment Section.** These files are maintained in the Academic Appointment Section which prepares appointments, promotions, and tenure materials. Not to be confused with the Official Personnel File (202-12) or the Office Personnel Information Files (202-07).

**922-01 Visa Files on Foreign National Employees.**

Correspondence, memorandums, reports, forms and other types of correspondence regarding individual visa applicants. Visa applications are copies.

Disposition: COFF after separation. RET to the WNRC 10 years after COFF. DEST 10 years after retirement to the WNRC.

**922-02 Faculty Curriculum Vitae Files.** These files contain curriculum vitae, faculty appointment letters, reappointment letters and departmental memoranda for both billeted military and adjunct non-billeted military and civilian faculty members. The files are arranged alphabetically in a central file. It is the only place to locate some information on adjunct faculty; other information may be duplicated in the OPF. This file contains information protected under the Privacy Act of 1974 (WUSU03). (For disposition of electronic database files, see 916-02.)

Disposition: Update periodically. COFF after termination of faculty member and place in inactive file. RET to the WNRC 20 years after COFF; DEST 50 years after RET.

**922-03 Faculty Indexes.** These are index cards that include name, address, department and title, and date of appointment of individuals holding academic appointments at USUHS. Maintained for convenience and reference in the Civilian Personnel Directorate.

Disposition: Update periodically; DEST when no longer needed for reference.

**922-04 Individual Faculty Case Files Who Work Outside of USUHS.** Consists of copies of USUHS Form 1006 (or its successor) "Request for Approval of Outside Activity," which is used to request permission for employment outside of the USUHS facility, and USUHS Form 1013 (or its successor) "Report on Outside Activity," which is completed by September 10 of that year's activities.

Disposition: COFF after separation. DEST 3 years after COFF.

**923 Administrative Files.** These files relate to the performance of routine administrative functions not covered elsewhere in this schedule.

**923-01 Weekly Activity Report.** Activities of all departments in the University compiled weekly.

Disposition: a. Memoranda submitted by the Deputy Dean's

Office to Assistant Secretary of Defense for Health Affairs. DEST when 1 year old. b. Memoranda from Departments submitted to Deputy Dean. DEST when 4 months old. c. Departmental copies. DEST when 1 year old.

**923-02 Suspense Files.** Facilitative records such as suspense files.

Disposition: DEST when 2 years old, or when no longer needed, whichever is sooner (GRS 23, Item 1) (reference (p)).

**923-03 Tracking and Control Records.** Facilitative records such as tracking and control records.

Disposition: DEST when 2 years old, or when no longer needed, whichever is sooner (GRS 23, Item 1) (reference (p)).

**924 University Health Center Medical Records.** These files are maintained in the Student Health Clinic which cares for students and student spouses.

**924-01 Student Medical Records.** Health records for students and their dependents, and military faculty used until the time of graduation/termination. These records contain information protected under the Privacy Act of 1974 (WUSU06).

Disposition: Release to students and spouses upon graduation or retire. Records released to faculty upon reassignment, retirement or resignation.

**924-02 Health Unit Control Files.** Logs or registers reflecting daily number of visits to health center.

Disposition: a. If information is summarized on statistical report: DEST 3 months after last entry (GRS 1, Item 20a) (reference (p)). b. If information is not summarized: DEST 2 years after last entry (GRS 1, Item 20b) (reference (p)).

**924-03 Quarter's Log.** Listings of all students and active duty personnel who are put on quarters while under treatment for illness. This file contains information protected under the Privacy Act of 1974 (SUSU03).

Disposition: DEST 5 years after last entry in log.

**924-04 Student Photo File.** Maintained for ease of identification.

Disposition: DEST when 5 years old or when no longer needed (GRS 21, Item 2) (reference (p)).

**924-05 Student Name and Address Log.** Alphabetical list of

students by year with their name, address, telephone number and social security number, maintained for convenience. This file contains information protected under the Privacy Act of 1974 (WUSU03).

Disposition: DEST when superseded.

**924-06 MSI & MSII Class Schedules.** This file consists of duplicate copies of class schedules maintained for ease of reference.

Disposition: DEST at end of academic year.

**924-07 WDMET System. Wound Data & Munitions Effectiveness Team.** (Pending approval)

1. WDMET case files on wounded soldiers consisting of summary sheets, series of body diagrams, descriptions of weapons, medical data treatment information, and other related records.

2. WDMET audio cassettes consisting of recorded interviews with witnesses to the wounding as well as with troops generally in the area.

3. WDMET slides of wounds.

4. WDMET X-rays of wounded soldiers.

Disposition: Permanent. Transfer immediately to National Archives when no longer needed for current business.

5. Database of information extracted from WDMET case files.

Disposition: Electronic Files: Permanent. a. 1987-1993: Transfer a copy of the database files to the National Archives upon approval of this schedule. b. 1993- : Transfer updated copy of the database files to the National Archives every three years. (i.e. next transfer would be made prior to 31 December 1996)

**NOTE:** 1) If updated copy of the database includes all records in the previous transfer of the database with no changes, once the latest transfer of the database has been preservation copied by the National Archives, the National Archives will destroy the previous transfer of the database as duplicate material. 2) All transfers of data will be done in accordance with 36 CFR & 1228.

6. System documentation for database of information

extracted from WDMET case files.

Disposition: Permanent. a. 1987-1993: Transfer a copy of the documentation for the electronic files cited in E.1. (above) along with the first transfer of the electronic files.

b. 1993- : Transfer an updated copy of the documentation with each subsequent transfer of electronic files in E.2. (above).

**NOTE:** All transfers of documentation will be done in accordance with 36 CFR 1228 (reference (e)).

7. Electronic index to WDMET slides.

Disposition: Electronic Files: Permanent. a. 1987-1993: Transfer a copy of the index files to the National Archives upon approval of this schedule. b. 1993- : Transfer updated copy of the index files to the National Archives every three years. (i.e. next transfer would be made prior to 31 December 1996)

**NOTE:** 1) If updated copy of the index includes all records in the previous transfer of the database with no changes, once the latest transfer has been preservation copied by the National Archives, the National Archives will destroy the previous transfer of the index as duplicate material. 2) All transfers of data will be done in accordance with 36 CFR 1228 (reference (e)).

8. System documentation for electronic index to WDMET slides.

Disposition: Permanent. a. 1987-1993: Transfer a copy of the documentation for the electronic files cited in G.1. (above) along with the first transfer of the electronic files.

b. 1993- : Transfer an updated copy of the documentation with each subsequent transfer of the electronic files in G.2. (above).

**NOTE:** All transfers of documentation will be done in accordance with 36 CFR 1228 (reference (e)).



**1000 Legislative Affairs. General (NC1-330-77-8).** The Assistant Secretary of Defense (Legislative Affairs) is responsible for the DoD relations with Congress, the designation and appearance of witnesses, coordination of the DoD-supported congressional travel, processing of security requests for congressional consideration of the legislative program of the Department of Defense. Unless otherwise indicated, permanent files will become available to the NARA when 30 years old.

**1001 Reserved** (see 103, Common Mission Files).

**1002 Legislative Program Files.** The following file, 1002-01 through 1002-07, are identical in content, each representing the legislative program of different organizations in the DoD. They consist of legislative programs, in their particular areas, letters from and to congressional committees or individual members, monitoring of the programs, and coordinating legislative activities.

**1002-01 Legislative Programs** (Defense Research and Engineering, Defense Advanced Research Projects Agency).

**1002-02 Legislative Programs** (Comptroller, Defense Civil Preparedness Agency).

**1002-03 Legislative Programs** (Installations and Logistics, Defense Supply, Defense Contract Audit, and Defense Mapping Agencies).

**1002-04 Legislative Programs** (International Security, Program Analysis and Evaluation, Defense Security Assistance Agency).

**1002-05 Legislative Programs** (Chairman of the Joint Chiefs of Staff, DIA, NSA, Intelligence, Public Affairs).

**1002-06 Legislative Programs** (Manpower, Reserve, and Health Affairs).

**1002-07 Legislative Programs.** (Atomic Energy, Defense Nuclear Agency, Defense Communications Agency).

**Disposition:** Permanent. Retire to the WNRC 3 years after program completion.

**1002-08 Research and Administration.**

1. Documents on the arrangements for the DoD supported travel for members of Congress and congressional staffs.

Requests from Congress for support, support evaluation for conformance with policy and appropriate referral to Military Departments for execution.

Disposition: Destroy when 1 year old.

2. Documents arranging security clearance of members of congressional staff.

Disposition: Destroy 1 year after staff member leaves his or her assignment.

3. Legislative Research Files

a. Documents briefly describing history of proposed or impending legislature for edification of the DoD officials.

Disposition: Legislative research: Permanent. Retire to the WNRC 5 years after noncurrency.

b. Statistics that are accumulated to support responses to congressional inquiries. They are not record copies.

Disposition: Destroy when no longer required.

c. Congressional Records and Congressional Hearings.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained IAW series 103-08.3.

d. Daily summaries of items of interest to the Secretary of Defense.

Disposition: Destroy when 5 years old.

4. White House Staff Correspondence. Correspondence exchanged with White House staff on matters of legislative interest. Weekly reports to the White House on status of the DoD legislation.

Disposition: Permanent. Retire to the WNRC when 5 years old.

**1100 Command, Control, Communications and Intelligence (C3I)**

These files pertain to C3I and its responsibility for ensuring the reliability, survivability, security, and cost-effectiveness of Command, Control, Communications and Intelligence systems for the Department of Defense and the National Military Command System (NMCS). Unless otherwise indicated, all permanent records retired to the Washington National Records Center will become available for transfer to the NARA when 30 years old. Depending upon volume, files may be further subdivided by the use of a decimal numerical suffix. NOTE: Those files pertaining to intelligence programs, surveillance and reconnaissance, signals intelligence, and resources will be found under the applicable 500-series entries.

**1101 Security Policy** (was 306) (NCl-330-77-13)

**1101-01 International Security**

1. Security policy, directives, and guidelines on NATO or other international defense treaty members.

Disposition: Permanent. Transfer to the WNRC when superseded or canceled.

2. Directives on support for NATO classified couriers and policy supervision for the U.S. Central Registry.

Disposition: Permanent. Transfer to the WNRC when superseded or canceled.

3. International General Security of Information and/or Industrial Security Procedures with Allied defense forces regarding security policy, operation, and arrangements of a security nature.

Disposition: Permanent. Transfer to the WNRC when superseded or canceled.

4. International Pact Organizations (IPO) (NATO, (Central Treaty Organization, or Southeast Asia Treaty Organization) compromise cases by U.S. and non-U.S. holders.

Disposition: a. Dispose of records on the compromise of Top Secret Defense information or equivalent with all associated case papers, including corrective action taken 10 years after cut-off. b. Dispose of similar material relating to the compromise of Secret Defense information or equivalent 5 years after cutoff. c. Dispose of all other such material 2 years after cutoff. Submit SF 135 for authority to destroy. d.

Retain a., b., and c., above in file 1 year after cutoff. Have U.S. Central Registry microfilm for retention and disposition as above (destroy pages microfilmed after determination that film is a substitute for paper).

5. Inspection reports by U.S. Central Registry of U.S. holders of NATO, CENTO, and SEATO information.

Disposition: Destroy 5 years after cutoff.

6. Inspection reports by the NATO Office of Security of non-U.S. holders of NATO, CENTO, and SEATO information.

Disposition: Destroy 2 years after cutoff.

7. Inventory reports of U.S. holders of NATO, CENTO, and SEATO information.

Disposition: Destroy 2 years after cutoff.

8. International Pact Organizations (IPO) (NATO, CENTO, or SEATO) security policy working papers.

Disposition: Retain until superseded by final IPO regulations and/or documents, then destroy.

9. IPO (NATO, CENTO, or SEATO) security policy directives, regulations, or guidelines on security policy.

Disposition: Retain until canceled or superseded, then destroy.

10. Comments and/or inputs to IPO security policy directives, regulations, or guidelines on security policy.

Disposition: Retire to the WNRC 2 years after completion and or/final decision of all agenda items.

11. IPO Committee and/or Groups - Minutes of Meetings.

Disposition: Destroy 2 years after completion and/or final decision of all agenda items.

12. Security Policy (security clauses) comments and/or inputs to international agreements, memos of understanding (MOU), technical arrangements, etc. (another office of primary responsibility OPR).

Disposition: Retire to the WNRC 5 years after termination cancellation, or supersession of agreement, MOU, etc. for permanent retention.

13. Security surveys and/or assessments of foreign countries.

Disposition: Retire to the WNRC 5 years after termination of existing agreements with country for permanent retention.

14. Security Policy comments and/or inputs to NDPC papers, including exceptions to policy, annual reviews, foreign military sales, meetings, or directives.

Disposition: Retire to the WNRC 2 years after resolution and/or publication of final document. Permanent retention.

15. Congressional correspondence resulting from inquiries, investigations, or other action by members of Congress that establishes or defines policies, plans, program objectives, or responsibilities.

Disposition: Retire record copies for permanent preservation members to the WNRC 1 year after case is closed. Destroy duplicate copies and associated nonrecord material 1 year after the close of the case unless part of the case file.

16. Travel arrangements.

Disposition: Destroy after 2 years or on discontinuance, whichever is first. However, documents in the cutoff file that require additional action or relate to reopened cases should be brought forward for filing in the current file.

17. Discovery of Electronic Surveillance Files. Case files on those individuals and/or organizations on which to base their reply to court-approved motions for discovery of electronic surveillance. Letters of request, directives to DoD Components to conduct search, and responses are included.

Disposition: Destroy when 15 years old. Transfer to the WNRC 2 years after completion of project.

#### **1101-02 Industrial Security Clearance Review**

1. Policy, directives, and general administrative documents on the Industrial Security Clearance Program.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for files maintained in accordance with series 103-01.

2. Reviews and investigates reports on issuance of, or continuation of clearance.

Disposition: Retire to the WNRC 5 years after no longer active. Destroy 20 years later. (NC1-330-77-13)

3. Adverse action on investigative reports.

Disposition: Retire to the WNRC 5 years after no longer active. Destroy 20 years later. (NC1-330-77-13)

4. Hearings from applicants for supporting eligibility for access authorization.

Disposition: Retire to the WNRC 5 years after no longer active. Destroy 20 years later. (NC1-330-77-13.)

5. Redacted copies of final Screening Board (opinions, Examiners, and Appeal Board opinions and motions).

Disposition: Retain in the OSD. Review for disposition in 20 years (NC1-330-77-13).

#### **1101-03 Security Plans and Programs**

1. Policy and procedures in the form of directives and guidance to the military and civilian security programs of the DoD Components including investigative and physical security matters.

2. Liaison documents with other U.S. security agencies coordinating policy and procedures.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for files maintained in accordance with the provisions of series 103-01.

#### **1101-04 Information Security**

1. Policy, standards, and criteria for security classification, classification, downgrading, and declassification of information within the DoD and industry, and for identification of military technological information requiring security protection.

2. Directives for and management documents that administer the DoD Classification Management Program.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents

maintained in accordance with the provisions of series 103-01.

3. Documents consisting of agenda, minutes, charter, and membership of the DoD Classification Review and Advisory Board.

4. Documents on DoD participation in the Interagency Classification Review Committee

Disposition: Permanent. a. Cut off documents described above when no longer needed for current operations and retire to the WNRC 5 years after cutoff, or when the committee is abolished, as prescribed for documents maintained in accordance with the provisions of series 103-06. b. Routine feeder reports, destroy when no longer needed.

#### **1102 Command and Control Files**

##### **1102-01 Concepts and Strategy.**

1. Documents that develop and coordinate command and control policies in implementing directives that define the functional, organizational, operational relationship between all elements or the WWMCCS and establish responsibilities for the management, development, acquisition, and operation of WWMCCS.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

2. (Pending approval). Coordination and liaison documents with non-DoD activities, etc.

**1102-02 WWMCCS 4 Architecture.** Documents providing policy and guidelines, compatible interfaces between systems, and computerized data format standards. Networks configuration and systems designs.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1102-03 Combat Support Plans** for the allocation of development and acquisition resources between the various areas comprising Combat Support. Documents managing the preparation and coordination of major development activities in Combat Support. Reviews of development and production programs. Documents of the Research and Development Subgroups of the DoD Advisory Committee on Federal Aviation which coordinates programs

of interest to the FAA, Department of Defense and the Military Departments. Committee agenda and minutes of meetings.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

### **1103 Communications**

#### **1103-01 Development and Acquisition**

1. Documents developing telecommunications objectives, policies, plans and programs. These are in the form of National Communications System (NCS) instructions pertaining to the unified technical planning and operational guidance. Procedural arrangements and reports necessary to develop the NCS.

2. Development of a 10-year DoD plan to implement the NCS plan including the budgetary requirement to acquire equipment and operate the system.

3. The development of evaluation criteria to measure the effectiveness of the equipment (hardware), the programs which operate the equipment (software), and the system from the standpoint of reliability, survivability, and security.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with file series 103-01.

#### **1103-02 Advanced Technology** (pending approval).

#### **1103-03 Resource Management** (pending approval).

#### **1103-04 Systems** (pending approval).

#### **1103-05 Teleprocessing.**

1. Policy on the computer science aspect of teleprocessing. Data terminal standards and operational procedures. MODEM or Data Set criteria and selection. Networking (the technique of optimizing service through the intelligent linking or remote stations by communications lines).

Disposition: Permanent. Cut off and retire to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with file series 103-01.

2. Informal Liaison with Teleprocessing Industry. (See the 1600 series in this Instruction for additional information.) Technical literature, pamphlets, price lists, and similar data.



Disposition: Destroy when no superseded, obsolete, or longer needed for reference, as prescribed for documents maintained in accordance with file series 103-01.3.

1104

1104-01 Technical Policy Operations.

1. Documents that establish DoD policy with respect to overall aspects of telecommunications besides WWMCCS. This includes such telecommunications matters as camp, post, base, and station telecommunications; fixed and/or transportable non-DCS telecommunications not organic to military forces, telecommunications security (COMSEC), radio navigation, and special cases.

2. Files documenting contact on telecommunications matters with organizations external to the DoD such as the FCC. These documents include such matters as assignment of frequencies, interference, availability of commercial networks, policy and procedures for national communications and similar matters.

3. Reviews, evaluations, and coordinations of DoD operations plans and programs in all areas of telecommunications.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with file series 103-01.

**1200 Acquisitions** (NC1-330-77-11, except where otherwise indicated). These files pertain to the policy and support necessary for the effective and efficient operation of the logistic activities of the Department of Defense including procurement, production, supply, installations, construction, real property, facilities, housing, maintenance, transportation, distribution, support, and related logistics services.

In no event may disposal be made of records on accounts, claims or demands involving the Government of the United States that have not yet been settled or adjusted by the GAO without written approval of the Comptroller General, as required by 44 U.S.C. 3309 (reference (d)).

Of a specialized character in the procurement field are the title papers documenting the acquisition of real property (by purchase, condemnation, donation, exchange, or otherwise). These papers are required by the Government as long as the property remains in Government hands or if it has been sold or released conditionally or with recapture clauses. When properties are disposed of by quitclaim deeds, this fact should be confirmed before the disposal of the title papers, since the title evidence might be needed by the Government to defend the title in the event the properties were disposed of by deeds containing general or special warranties.

It should also be ascertained that the title evidence relates only to the properties that were sold by the Government. In many instances, lands acquired by the Government are disposed of in different sized parcels, and if the Government retains the title to any portion the title evidence should be retained.

Unless otherwise indicated, records of this series scheduled for permanent retirement will be transferred to the National Archives when 30 years old.

**1201-01 - 1201-08 Reserved** (see 103, Common Mission Files).

**1201-09 Procurement Files. General.**

1. Procurement files (as described in item 4., below) involving transactions as well as the initiation and development of transactions that deviate from established precedents on general agency procurement or to major procurement programs.

**Disposition:** Permanent. Retire to the WNRC when 8 years old.

2. Title papers documenting the acquisition of real

property (by purchase, condemnation, donation, exchange, or otherwise).

Disposition: a. Records pertaining to property acquired after December 31, 1920, other than abstract or certificate of title, dispose of 10 years after unconditional sale or release by the Government of conditions, restrictions, mortgages or other liens. b. Abstract or certificate of title, transfer to purchaser after unconditional sale or release by the Government of conditions, restrictions, mortgages, or other liens. (GRS 3, Item 1).

3. Correspondence files of procurement operating units on their internal operation and administration that are not covered elsewhere in this schedule.

Disposition: Destroy when 2 years old.

4. Contract, requisition, purchase order, lease, and bond and surety records, including correspondence and related papers.

a. Procurement or purchase organization copy, and related papers.

(1) Transactions of more than \$25,000 and all construction contracts exceeding \$2,000.

Disposition: Destroy 6 years and 3 months after final payment (GRS 3, Item 3a.(1)) (reference (p)).

(2) Transactions of \$25,000 or less and construction contracts under \$2,000.

Disposition: Dispose of 3 years after final payment (GRS 3, Item 3a.(2)) (reference (p)).

b. Obligation copy.

Disposition: Destroy when funds are obligated (GRS 3, Item 3b.) (reference (p)).

c. Copies of contracts, requisitions, leases, and other papers with duplicates of papers defined in item 4a, above, used by Component elements of a procurement office for administrative purposes.

Disposition: Destroy upon termination or completion (GRS 3, Item 3c.) (reference (p)).

5. Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general

nature), exclusive of the DoD reports reflecting procurement under exemptions authorized under applicable regulations.

a. Copies received from other units for internal purposes or for transmission to staff agencies.

Disposition: Destroy when 2 years old (GRS 3, Item 4a.) (reference (p)).

b. Copies in other reporting units and related work papers.

Disposition: Destroy when 1 year old (GRS 3, Item 4b.) (reference (p)).

6. Records on the planning and execution of procurement programs, including records on printing, binding, duplicating, and distribution or publications and other items of supply and paper not covered elsewhere in these schedules.

Disposition: a. Destroy files relating to the accomplishment of the job -- requisitions, bills, samples and related correspondence and papers -- 3 years after completion or cancellation of requisition (GRS 3, Item 6a.) (reference (p)). b. Destroy manuscripts other than the official record copy used in the production phase as well as associated production clearances and proofs one year after acceptance of job. c. Destroy files pertaining to publications program planning, production standards, costing and related records 3 years after supersession, completion or revision of the program or standard. d. Destroy registers used to control work orders or requisitions 1 year after close of fiscal year.

#### **1201-10 Bid files**

1. Successful bids.

Disposition: Destroy with related contract case files (see series 1201-09) (GRS 3, Item 5) (reference (p)).

2. Unsuccessful bids.

Disposition: Dispose of in accordance with the provisions of series 1201-09.

3. Lists or cards of acceptable bidders.

Disposition: Dispose of when new list or card is made.

### **1201-11 Disposal of Surplus Property.**

1. Case files on sales of surplus personal property and real property comprising invitations, bids, acceptances, lists of material, evidence or sales and related papers involving transactions and other papers that document the initiation and development of transactions that deviate from established precedents on major disposal programs.

Disposition: a. Record copies, including related material, are permanent. Cut off when case is closed, retire to the WNRC after 3 years. b. Destroy duplicate and nonrecord material upon file cut off. c. Files not covered here should be disposed of under 1202-11.3.

2. Case files on disposal of surplus real and related personal property (as described in 1. above).

Disposition: a. Record copies, including related material, are permanent. Cut off when case is closed and retire to the WNRC after 3 years. b. Destroy duplicate and non-record material when files is cut off.

3. Case files on sales or surplus personal property, comprising invitations, bids, acceptances, lists of materials, evidence of sales, and related correspondence (other than those covered in items 1. and 2., above).

a. Transactions of more than \$25,000.

Disposition: Destroy 6 years after final payment (GRS 4, Item 3a.) (reference (p)).

b. Transactions of \$25,000 or less.

Disposition: Destroy 3 years after final payment (GRS 4, Item 3b.) (reference (p)).

**1201-12 Standards.** Records on the development and establishment of standardized specifications, standards, and nomenclature of items of supply used in military or civilian production and supply matters.

Disposition: a. Retire record copies, including development papers, coordination records and other related and associated record material 6 months after acceptance and promulgation or specifications, standard item description, and identification for permanent preservation. b. Destroy inactive project files 3 years after file cutoff. c. Destroy duplicate case material used in the development of standards, specifications, and item descriptions when official promulgation has been made.

**1201-13** Records necessary or convenient for the use of real property sold, donated, or traded to non-Federal ownership, including, if pertinent as determined by the releasing agency, site maps and surveys, plot plans, architect's sketches, working diagrams, preliminary drawings, blueprints, master tracings, utility outlet plans, equipment location plans, specifications, construction progress photographs, inspection reports, building and equipment management and maintenance records, allowance lists as well as duplicate copies of title papers, provided: (a) the records can be segregated without harm to other documents or enduring value, (b) no responsibility attached to the Government because of disagreement between the transferred documents and the physical condition of the property at the time of conveyance, and (c) if the property is released for historical use or purpose, the user agrees to retain it and return it to the Federal Government immediately upon the discontinuance or its use for historical purposes.

**Disposition:** Transfer to new custodian upon completion of sale, trade, or donation proceedings, or acceptance of purchase money mortgage (GRS 4, Item 4) (reference (p)).

**1201-14 Facility Records.** Records on overall program planning on acquisition, care, maintenance, construction, allocation, transfer, and release of real property.

**Disposition:** a. Retire record copies 3 years after file cutoff for permanent preservation. b. Destroy duplicate and non-record material when file is cut off unless part of a case file.

**1201-15 Space Management.** Records on the allocation, utilization, and release of space under departmental control and related reports to the GSA.

**Disposition:** a. Dispose of building plan file and related department records relating to space utilization, planning assignment and adjustment 2 years after termination of assignment, or when lease is canceled, or when plans are superseded or become obsolete. b. Dispose of records supporting and copies of reports submitted to GSA regarding space occupied in Metropolitan Washington and outside the District of Columbia 2 years after annual file cutoff. c. Destroy space plan file and related records used in space planning, assignment and adjustment of space allocated to the OSD 2 years after annual file cutoff. d. Destroy record copies supporting reports submitted to the DoD space control activity regarding space occupied by OSD 1 year after annual file cutoff. e. Dispose of correspondence files

relating to space and maintenance matters of an administrative or operating nature, 3 years after annual cutoff.

## **1202 Procurement Files**

**1202-01 Procurement Policy.** Records consisting of decisions, directives, instructions, guidelines, and supporting documentation on the initiation, development, and establishment of procurement policies, standards, criteria, or guidelines. Included are policy matters affecting new techniques and procedures, interpretations, or published regulations, weapons systems procurement, tailoring of contract types, structuring or unique clauses, consistent policy application, government-wide policy and proposed innovations. To facilitate file access, this file may be subdivided into 1201-01.1 to 1201-01.9.

**Disposition:** a. Policy files are permanent. Retire to the WNRC when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained IAW series 103-01. b. Destroy reproduced copies when superseded or revised, unless part of a case file. c. Destroy reference copies of matters not published by the Department of Defense when no longer required for reference.

**1202-02 Procurement Management.** These files contain documents governing overall procurement management, administrative review, and improvement progress, development for input to personnel training and career development courses.

**Disposition:** a. Retain review procedures until superseded, then destroy. b. Destroy review or progress reports when superseded or all necessary action completed. c. Destroy career development and training programs upon inactivation.

**1202-03 Procurement Analysis and Planning.** These files consist of analyses and reports of existing policies, possible improvements and modifications, status or foreign procurement policies and procedures, and matters on the U.S./Canadian Productions and Development Sharing Program. Further subdivisions of this file may be made by assigning numbers 1202-03.1 to 1202-03.9 if volume dictates.

**Disposition:** a. Documents pertaining to possible improvements and modifications may be destroyed when incorporated into approved policy or procedure. b. Documents pertaining to possible improvements which have been disapproved may be destroyed when 3 years old.

**1202-04 Small Business and Economic Utilization Policy.** Policy files on small business, labor surplus areas, minority business enterprise, and a military procurement information

office to facilitate access of information to the aforementioned activities.

Disposition: a. Policy documents are permanent. Cut off and retire to the WNRC when superseded, obsolete, or no longer needed for reference, as prescribed for papers maintained IAW series 103-01. b. Correspondence, reports, studies, goal statement, and other records, destroy when 3 years old (GRS 3, Item 17) (reference (p)). Retire to the WNRC when superseded. Case files are permanent. Retire to the WNRC 3 years after last entry in file.

**1202-05 Contract Administration Services.** Record copies of coordinating policies and procedural directives, focal point correspondence, monitoring of component contract administration, liaison matters, and plan cognizance program. These are the working files of the office directly responsible for contract administration and monitoring of the activities of the Component elements of the Department of Defense.

Disposition: a. Record copies of coordinating policies and procedural directives pertaining to contract administration are permanent. Cut off and retire to the WNRC when superseded, obsolete, or no longer needed for reference, as prescribed for policy-type documents maintained IAW series 103-01. b. Documents related to monitoring, liaison and plant cognizance, cut off when 5 years old and retire to the WNRC; destroy when 15 years old.

**1202-06 Defense Acquisition Regulation (DAR) (formerly Armed Services Procurement Regulation (ASPR) Committee Files.** These are the files of the committee tasked with preparation and revisions of the procurement regulations that govern the procurement activities of the Department of Defense. They consist of documents of proposed and approved revisions, coordinations and staffing of changes to the regulations, and circulars to keep procurement activities abreast of current developments. (See 1201-09 Contract Case Files and ASPSN.2 Part 5.)

Disposition: a. The record copy is permanent. Cut off when no longer needed for current business and retire to the WNRC. b. Defense Procurement Circulars (DPCs) or changes may be destroyed 1 year after incorporation in the manual. c. Committee case files are permanent and will be retired to the WNRC when 5 years old. d. Tapes of minutes can be erased after transcription.



**1202-07 Contract Support Services.** These are files of special projects on contractual matters such as special studies, technical evaluations, and reviews or commercial and industrial contract activities.

Disposition: Cut off and retire to the WNRC when 5 years old; destroy when 15 years old.

**1203 Installations and Housing Files.** These records involving the responsibilities of this office to budget for, construct or acquire, administer, maintain, and dispose of installations and housing as appropriate. Plans, policies, and program administration are involved DoD-wide.

**1203-01 Facilities Planning and Programming.** Documents on policy criteria review, analysis, program administration of such matters as housing programs (family and bachelor), home owner assistance, real property, military construction and housing budgeting, and legislature.

Disposition: a. Policy is permanent. Retire to the WNRC when superseded, obsolete, as prescribed for documents maintained IAW series 101-01. b. Reviews and analyses, destroy 5 years after supersession by later review.

**1203-02 Construction Standards and Design.** These files contain documents concerning physical standards and design criteria for DoD facilities, architectural engineering activities, cost standards, environmental pollution control, utility plants, and Base Master Planning matters.

Disposition: Destroy standards and design criteria 5 years after supersession.

**1203-03 Construction Operations Files.** Documents on base development, construction acquisition systems. Here also can be found congressional correspondence on construction.

a. Congressional correspondence.

Disposition: Record copy is permanent. Retire to the WNRC when 3 years old.

b. Documents on surveillance or acquisition.

Disposition: Destroy 7 years after last entry.

**1203-04 Facilities Management Files.** Administrative procedures, directives, correspondence, studies required to manage real property facilities, natural resources, and Public Domain Lands.

Disposition: Permanent. Cut off when superseded or obsolete and retire to the WNRC, as prescribed for policy-type documents maintained IAW series 103-01.

**1204 Supply, Maintenance and Services Files**

**1204-01 Supply Management Policy.** Records consisting of decisions, directives, instructions, guidelines and supporting documentation on the initiation, development, and establishment of supply policies of the Department of Defense. Included are policy matters affecting provisioning; its cataloging, distribution, utilization, and disposal; systems effectiveness, foreign aid, and resources for supply system operations. Automated Logistic Systems functions and related files as controlled by this office.

Disposition: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

**1204-02 Transportation and Warehousing Policy Files.** Records consisting of decisions, directives, instructions, guidelines, and supporting documentation on the initiation, development, and establishment of transportation and warehousing policy. Included are policy matters concerning traffic management, containerization, material handling, international transportation, highways for National Defense, postal transportation, single manager supervision, administrative-use vehicles, storage and warehousing, preservation, and packaging. Correspondence, memos for record, and other communications are filed with applicable policy matters.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

**1204-03 Maintenance Policy Files.** Records consisting of decisions, directives, instructions, guidelines, and supporting documentation on the initiating, development, and establishment of maintenance policies of the Department of Defense. This pertains to documents establishing technical concepts, criteria and latest technology, equipment performance, and readiness and support planning.

Disposition: Permanent. Cut off and retire to the WNRC

when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

**1204-04 Subsistence Management Policy.** These files have to do with the establishment of policy matters on basic daily food allowances for the Armed Forces, food service and related systems, food equipment, facilities, procurement, and distribution. Fees on training and career development program for food handlers, and for the monitoring of food service accounting and reporting for the Armed Services. To assist in the discharge of those duties a DoD Food Planning Board is sponsored by this office.

**Disposition:** a. Policy documents are permanent. Cut off and retire to the WNRC when cancelled or superseded, as prescribed for documents maintained IAW series 103-01. b. Food Planning Board minutes are permanent. Retire to the WNRC when 5 years old. c. Training and career development program records, cut off 3 years after supersession; destroy when 25 years old. d. Food service accounting reports are permanent. Retire to the WNRC when 3 years old.

**1204-05 Petroleum Matters Files.** Documents on the DoD petroleum policy guidance, systems, and procedures. Inspections reports on surveillance of industry in meeting standards and ability to satisfy defense needs. It also contains documents on products and petroleum facilities. This is also the file location of the Oil Policy Committee Working Group. This committee assists in the formulation of policy and management systems.

**Disposition:** a. Policy documents are permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained IAW series 103-01. b. Oil Policy Committee Working Group files are permanent. Cut off when no longer needed for current operations. Retire to the WNRC 5 years after cut off or when the committee is abolished, as prescribed for committee papers maintained IAW series 103-06.1. c. Inspection reports may be destroyed 3 years after supersession by a subsequent report, or when 5 years old, whichever is later.

## **1205 Production Engineering and Materiel Acquisition**

**1205-01 Technical Director Files.** Technical support documents for the Defense Acquisition Board (DAB), board proceedings, minutes, etc. This board reviews and makes recommendations on all large system acquisitions for the Department of Defense. Papers that monitor various acquisition programs of the Department of Defense, reports, projections costs, test facilities, etc. Documents on applications engineering and manufacturing technology necessary to perform this mission.

Disposition: a. Committee minutes and proceedings are permanent. Cut off when no longer needed for current operations. Retire to the WNRC 5 years after cutoff, as prescribed for documents maintained IAW series 103-06.1 b. Supporting documents may be destroyed when no longer needed for current operations, as prescribed for papers maintained IAW series 103-06.2

**1205-02 Ships, Weapons, Electronics, and Associated Systems Files** These files contain all the documents necessary to manage subject matter acquisitions or foreign military sales. They include development concepts, program budget decisions, and necessary fiscal and logistics guidance, as well as budget planning figures and approved budget data. Progress towards meeting the planned milestones of the DAB is also monitored and progress recorded in these files. Case files of special interest to the Department of Defense may be included.

Disposition: Permanent. Retire to the WNRC when 7 years old.

**1205-03 Aircraft and Missiles Files.** These files contain all the documents necessary to manage subject matter acquisitions or foreign military sales. They include development concepts, program budget decisions, and necessary fiscal and logistics guidance. Budget planning milestones of the DAB are also monitored and progress recorded in these files. Inspection reports, studies, and other documents such as technical articles measuring industrial preparedness related to aircraft and missiles are found in these offices. Case files or special interest to the Department of Defense may be included. Documents establishing priorities and allocations are also filed.

Disposition: Permanent. Retire to the WNRC when 7 years old.

**1205-04 Industrial Preparedness and Munitions Production Files.** Central files of documents on industrial preparedness and munitions production. Inspections or other reports of the ability of industry to respond to defense needs under different postures. Documents describing new manufacturing technology, budget cycle input on related acquisitions, corrective actions necessary, and status thereof.

Disposition: a. Documents relating to industrial preparedness and munitions production are permanent. Retire to WNRC when 10 years old. b. All other documents in this file,

Retire to the WNRC when 10 years old or superseded by later report; destroy when 20 years old.

**1205-05 Product and Production Engineering Files.** Documents on quality and reliability, value, and cost engineering. These papers consist of studies, suggestions, standards, programs, and directives to assure reliability, a threshold of quality and value engineering techniques to minimize costs without loss of quality. Also included are papers on technical data resources, standardization programs, aimed at reducing the variety of product, and product part noninterchangeability.

**Disposition:** Cut off after 5 years, or when technology or standards are overcome by improvements, whichever is later. Retire to the WNRC and destroy when 15 years old.

**1205-06 Management Evaluation and Material Control.** Studies, directives, program management papers, and correspondence on management evaluation and material control. Included are the DoD Management Improvement Program, Logistics Performance Measurement and Evaluation System, the Integrated Engineering System Industrial Priorities and Allocations, impact determination (such as may be caused by labor strife or fuel shortage) and related papers.

**Disposition:** Permanent. Retire to the WNRC when 10 years old or when superseded, whichever is later.

## **1206 Special Assistant's Files**

**1206-01 Plans and Programs Files.** Studies, plans, correspondence, and directives necessary to perform objectives of this office. Preparation of strategic studies and plans; budget input, program planning, resource management, and studies of financial aspects of DoD programs issued by or impacting upon the installations and logistics missions.

**Disposition:** Permanent. Retire to the WNRC when superseded or 10 years old, whichever is later.

**1206-02 International Programs.** Documents in the nature of studies, reports, agreements, and directives necessary for the management of international programs. Directives managing the Military Assistance Program, cooperative logistic support arrangements with treaty members, international co-production arrangements, NATO Armaments Production and Logistics Programs, International Logistics Systems, and Material Allocations - U.S. vs International Requirements. These files also contain Civil Emergency Planning documents involving logistic plans for this contingency.

Disposition: Permanent. Retire to the WNRC when superseded or when 10 years old, whichever is later.

**1206-03 International Cooperative Agreement (ICA) Coordination Files.** These files document USD (A&T)'s role as the approval authority for the DoD Components to negotiate and/or conclude international agreements with foreign governments for cooperative research, development, test, evaluation, technical data exchange, and related standardization agreements that are not implemented through the Security Assistance Program; agreements concerning cooperative or reciprocal logistical support, including shared use of equipment, facilities, and services, except for uni-Service matters; and coproduction, licensed production, and related standardization agreements that are not implemented through the Security Assistance Program. These files form a record of DoD/Commerce Department/State Department coordinations on all proposed ICAs. They consist of requests from the Components for authority to negotiate and/or conclude an ICA which include a draft text of the proposed agreement, a legal memorandum explaining the legal basis of the ICA, a fiscal memorandum, a technology assessment and control Plan (TA/CP), an industrial base factors analysis, and a delegation of disclosure authority letter (DDL); staffing and coordination memorandums; and delegations of authority to negotiate and/or conclude the agreements. Also included are requests from DSAA for USD(A&T) coordination for their international agreements; requests from the State Department ("Circular 175 requests") for DoD comments on ICAs between other Executive Branch agencies and foreign governments; and Notifications of Loan Agreements and Project Agreements from the DoD Components. [Note: These files are not to be confused with the international agreement files maintained by the DoD General Counsel (402-05) or the agreement files described under the common mission series 103-04.]

Disposition: a. Delegations of authority and other documents that state the OSD position on any of the above matters are permanent as well as any substantive correspondence that documents the coordination process. Retire to the Washington National Records Center (WNRC) when superseded, obsolete, or no longer needed for current business, as is authorized for policy-type files maintained in accordance with series 103-01.1 and .2  
b. Background materials and correspondence of a transitory nature may be destroyed when no longer needed for reference purposes, as is authorized for such documents when maintained in accordance with series 103-01.3.

## **1207 , Administrative Matters**

**1207-01 Executive Office Files.** Documents necessary for the general administration of this office. Included are the budget preparation, personnel assigned, travel arrangements, message center, review of correspondence, and program surveillance.

**Disposition:** See the respective 103-series files for budget, personnel, message and correspondence review.

**1207-02 Industrial Management and Logistics Audit.** Directives, studies, and correspondence reports required to manage the aspects of Installations and Logistics (I&L) functions. Here are filed inspections and audit reports both internally administered or conducted by GAO, management systems, directive procedures and reports; follow up correspondence to audit reports, check-off procedures, exchanges with the GAO and similar material.

### **1. Directives and policy on Management Systems.**

**Disposition:** Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

### **2. Audit reports.**

**Disposition:** Retire to the WNRC 2 years after file is closed and all proposed action is completed. Destroy when 10 years old.

**1207-03 Logistics System Office.** These files contain documents necessary to coordinate logistic function in the Department of Defense; to formulate DoD Logistics Plan with input from Components; to develop, establish, and promulgate logistic policy with the assistance of the Logistics Systems Policy Committee, to sponsor the committee, keep its minutes and working papers; and to initiate a research program and technical system support. The files consist of reports, policy directives, studies, correspondence and the like to accomplish these tasks.

**Disposition:** a. Retire policy documents to the WNRC when superseded or obsolete, as prescribed for papers maintained IAW series 101-03. b. Committee minutes are permanent. Cut off when no longer needed for current operations. Retire to the WNRC when 5 years old, as prescribed by documents maintained IAW series 103-06.1.

## **1208 Office of Economic Adjustment Files**

**1208-01 Economic Impact Minimization Files.** These files

contain studies, reports, correspondence, evaluations of the economic impact of proposed or suggested base closures, reduction programs, special problems studies, and possible changes in procurement programs.

Disposition: a. Studies, reports, and correspondence relating to base closure and reduction programs which are the subject of congressional or widespread public interest are permanent. Retire to the WNRC when 5 years old. b. Other files, such as special problems studies and possible changes in procurement programs, cut off when 5 years old and retire to the WNRC; destroy when 20 years old.

## **1209 Energy Environment and Safety**

This office coordinates and directs the efforts of the various subordinate offices herein described. Generally, it is charged with coordination for the Department of Defense, with the Council for Environmental Protection Agency (EPA) on matters related to the environmental programs of the Department of Defense. This office is also charged with coordination with the Highway Traffic Safety Administration, National Transportation Safety Board (NTSB), and Federal Aviation Administration (FAA) on matters related to the occupational health and safety programs of the Department of Defense. Most of these matters originated with national laws that are implemented by Federal regulations promulgated by the above agencies.

**1209-01 Environmental Quality.** Documents examining every DoD action that may have environmental ramifications to include analyses of the impact and consideration of courses of action. Examples are base closures, realignments, exercises, operations, construction projects, and land use planning. Documents within this category include:

### **1. Policy issuances.**

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained IAW series 103-01.

### **2. Procedures, methodologies.**

Disposition: Destroy when superseded or obsolete.

### **3. Environmental Impact Assessments (EIA).**

Disposition: Destroy 1 year after completion of the matter assessed.



a. Environmental Impact Statements (EIS).

Disposition: Destroy 1 year after completion of the action.

b. Draft and/or Final.

Disposition: Destroy 7 years after completion of the action.

4. Negative declarations.

Disposition: Destroy after 1 year.

5. Status reports.

Disposition: Destroy after Environmental Impact Assessment and/or Environmental Impact Statement is submitted.

6. Annual environmental report incident thereto.

Disposition: Permanent. Retire to the WNRC when 5 years old.

**1209-02 Air Programs.** DoD programs developed and policy direction implementing air pollution abatement; the identity of all emitters and noncompliance major and minor sources, monitoring the service efforts to bring into compliance. The identification of activities requiring Air Pollution Episode Plans and the assurance that necessary coordination has taken place with local and State officials. Some examples are programs to control open burning of munitions, ships smoke and tube blowing, coal conversion and jet engine test cells. Documents in this category include:

1. Policy issuances, directives.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained IAW series 103-01.

2. DoD comments to proposed Federal regulations.

Disposition: Destroy 5 years after final regulation is promulgated.

3. Compliance status on National Pollutant Discharges Elimination System (NPDES).

Disposition: Destroy after 5 years.

4. Status reports on compliance, schedules, and programs

for compliance with Federal laws and regulations.

Disposition: Destroy after 5 years.

**1209-03 Water Pollution Abatement.** Programs developed and policy direction implementing Federal regulations pertaining to the Water Pollution Control Act (WPCA), the Coastal Zone Management Act (CZMA), Section 101 of the Safe Drinking Water Act (SDWA). Documents in this series include:

1. Policy issuances, directives.

Disposition: Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

2. DoD comments on proposed Federal regulations.

Disposition: Destroy 5 years after final regulation is promulgated.

3. Spill Prevention Control and Countermeasures (SPCC) plans.

Disposition: Permanent. Transfer to the WNRC when superseded.

4. Spill contingency plans.

Disposition: Permanent. Transfer to the WNRC when superseded.

5. Compliance status on National Pollutant Discharges Elimination System (NPDES).

Disposition: Destroy after 5 years

6. Status reports on compliance, schedules and programs for compliance with Federal laws and regulations.

Disposition: Destroy after 5 years.

**1209-04 Solid Waste Management.** The DoD program to comply with the Solid Waste Disposal Act of 1970; policy in relation to the Act, the implementation of guidelines and the estimation of costs. This includes source separation programs, the storage and collection of waste such as metal and paper, the resource recovery facilities, thermal processing of waste, and the beverage container policy.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

**1209-05 Categorical Programs.** The development of DoD guidelines and policy directives to comply with Federal regulations issued pursuant to the Radiation Health and Safety Act of 1968, the Noise Control Act of 1972, and the Federal Insecticide, Fungicide, Rodenticide Act of 1972.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

**1209-06 Safety and Occupational Health.**

1. Policy and guidelines for DoD implementation of Occupational Safety and Health Act (OHSA) of 1970, Executive Order 11807 and appropriate Federal regulations.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

2. Coordination with and comments to OSHA, NTSB, FAA on proposed standards and regulations, as well as periodic statistical reports.

Disposition: Destroy after 5 years.

3. Inspection, abatement, reporting, and budget guidelines for DoD activities.

Disposition: Destroy after 5 years.

**1209-07 Energy Policy (NC1-330-79-4)**

1. Documents on preparing, coordinating, issuing, and interpreting policy, directives, regulatory instructions, and comparable records on the energy program in DoD.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

2. Studies reports, analyses made to measure energy conservation, and the effectiveness or current practices or proposed plans.

Disposition: Retire to the WNRC when superseded; destroy when 15 years old.

3. NATO Energy Files. Documents related to the operation of the Central Europe Pipeline System (CEPS).

a. Documents that monitor the NATO Tariffs and NATO Budget. These consist of copies of charges paid for pipeline storage and transportation, as well as payments for repairs and maintenance, and copies of the contributions of each NATO nation towards these expenses.

Disposition: Destroy when 3 years old.

b. Documents that recommend policy on the CEPS operations.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained IAW series 103-01.

4. Defense Energy Information System (DEIS) (NC1-330-81-9). This is a machine-readable record file which is tape-resident. The records consist of inventories of energy products at military installations, the rate of consumption, issue receipts, and transfers.

a. Magnetic Tapes.

Disposition: Permanent. Transfer to the National Archives in 5-year blocks when most recent records are 10 years old.

b. Hard-copy reports.

Disposition: Retire one copy of each report to the WNRC when no longer required for reference; destroy when 15 years old.

**1300 Defense Research and Engineering (NC1-330-77-15).** These files relate to research and engineering (R&E) and pertain to: Scientific and technical matters; basic and applied research; developments, tests and evaluations of weapons systems, design and engineering, for suitability, producibility, reliability, maintainability, and materials conservation; and environmental services.

**1301-01 - 1301-07 Reserved** (see Common Mission Files).

**1301-08 Program Files.** Documents that describe in a narrative way the objectives of the program, the requirements, characteristics, time schedules including milestones, financial plans, proposals and contracts, the monitoring of the program and related papers necessary to manage the program. These are generally case files of major importance.

**Disposition:** Permanent. Transfer to the WNRC 5 years after program completion. Make available to the NARA when 30 years old.

**1301-09 Project Case Files.** These are generally maintained at the laboratory or comparable level, reflecting a complete history of each project from development, design, and testing, to completion. They include (when created by agency personnel or received from contractors) for research services with addendums; project cards; technical characteristics; test and trial and photographs considered to be essential to document designs, modifications, and engineering developments; technical and progress reports; notice of completion or cancellation, reference to the location of prototype models, films or other items too bulky for inclusion in these files; and course of action taken on a project. These files are generally retained by the Military Services who administer the laboratories such as the Naval Ordnance Laboratory.

**Disposition:** Permanent. Retire to the WNRC 5 years after program completion. Transfer to the NARA when 30 years old.

**1301-10 Administration of Projects.** Lists, card indexes, or other media reflecting in an abstract comprehensive manner individual projects administered by the OSD.

**Disposition:** Permanent. Transfer to the WNRC when 5 years old. Make available to the NARA when 30 years old.

**1301-11 Laboratory notebooks** on technical and scientific data accumulating from the conduct of research and development. These are mostly found in laboratories under the administration

of a component commander. The OSD volume is estimated at less than 5 cubic feet per year. See note under item 1301-09.

1. Notebooks containing data determined by competent scientific or technical personnel either to be duplicated in technical reports or elsewhere in project case files, or to be of such a routine or fragmentary nature that their retention would not add significantly to the project file.

Disposition: Dispose of 6 months after completion or termination of the related project or projects.

2. Notebooks whose data has not been duplicated elsewhere and which would add significantly to the project file. The OSD volume is less than 1 cubic foot per year.

Disposition: Permanent. Transfer to the WNRC when 3 years after program completion. Make available to the NARA when 30 years old.

**1301-12 Technical Report Files.** Consisting of an official file copy of each technical report, or unpublished manuscript or a report, prepared in connection with a project, article reprints, terminal narratives, statistical and graphic compilations, summarizations, and analyses.

Disposition: Permanent. Transfer the final official report to the WNRC 3 years program completion. Make available to the NARA when 30 years old. Retain other technical file material for 3 years, then destroy.

**1301-13 Drawing and Specification Files.** Consisting of an official file copy of each drawing and specification showing final testing and technical characteristics of items developed. Most of these records are in the custody of the Component commanders.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old. Volume is small for OSD; estimated at less than 5 cubic feet per year. See note under Section 1301-09.

**1301-14 Correspondence files** of a general administrative or housekeeping nature (exclusive of papers containing scientific or technical data) maintained by offices other than those referred to in Item 1301.

Disposition: Destroy when 2 years old.

**1301-15 Project control files** consisting of copies of documents contained in project case files, preliminary sketches, drawings, specifications, and photographs determined by competent

scientific and technical personnel, not to be determined by sufficient value for incorporation in project case files, and correspondence concerning such administrative matters as travel, conferences, consultations, and transmittal of documents.

Disposition: Dispose of upon completion or cancellation of projects or earlier, as they serve their purpose.

**1301-16 Summary progress reports** submitted by laboratories or other project offices to show the initiation and degree of completion of projects, and consolidated reports prepared therefrom.

1. Copies of reports retained by reporting offices.

Disposition: Dispose of 1 year after completion or cancellation or related projects.

2. Feeder reports used for compilation or consolidated reports, except as indicated in 3. below.

Disposition: Dispose of upon submission of consolidated reports.

3. Consolidated reports, consisting of an official file copy of each consolidated report and any feeder reports used for preparation thereof containing technical or scientific data not fully documented in the consolidated reports.

Disposition: Permanent. Make available to the NARA when 30 years old.

**1301-17 Unsolicited Proposals. (NC1-330-81-6)**  
Correspondence records from individuals proposing the use of their inventions or suggestions to improve the Defense Department. Files consist of case projects including, if warranted, feasibility studies and investigations.

1. Accepted suggestions or inventions of a significant nature, which could later result in litigation.

Disposition: Permanent. Transfer to the WNRC 3 years after case is closed. Offer to the NARA when 30 years old.

2. Rejected suggestions or inventions of a significant nature, which could later result in litigation.

Disposition: Transfer to the WNRC when 3 years after last action. Destroy when 30 years old.

3. Rejected suggestions or inventions of a significant nature.

Disposition: Transfer to the WNRC 3 years after last action. Destroy when 7 years old.

**1301-18 SALT Support.** Scientific and engineering support documents directed towards current strategic policy issues associated with discussion alternatives in SALT and, in addition, scientific and engineering support documents directed towards current strategic policy issues associated with a comprehensive test ban treaty and mutual balanced force reductions with the USSR.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

**1301-19 Chronological Reading Files**

Disposition: See Section 102-16.

**1301-20 Congressional Correspondence.**

Disposition: See Section 102-18.

**1301-21 Transitory Material (NC1-330-80-5).** Transmittal documents that add no significant information to material transmitted; routine requests for information, publications, or supplies; documents correcting reports or other minor corrections to records; and courtesy or informational documents that are not needed to document specific functions or actions but are of reference value to the office.

Disposition: Destroy 3 months after monthly cutoff, or when purpose has been served, whichever is sooner.

**1302 Special Boards and Committees**

**1302-01 Defense Science Board.** Advises the Secretary of Defense through the USDR&E on scientific and technical matters of interest to the Department of Defense. Studies directed towards scientific and technical aspects or specific strategies, tactics, and policies as they may affect the U.S. national defense posture.

Disposition: Permanent. Transfer to the WNRC when 5 years old. Make available to the NARA when 30 years old.

**1302-02 Net Technical Assessment.**

1. Documents consisting of assessments of current and projected U.S. and foreign military capabilities and evaluating



the differences. Documents that develop or provide for the development of specific net assessment of current and projected U.S. and foreign major weapons systems.

Disposition: Permanent. Transfer to the WNRC 5 years after superseded by more current analysis. Make available to the NARA when 30 years old.

2. Evaluation reports on the subject of military needs and programs based on existing or potential threats revealed by intelligence analysis.

Disposition: Permanent. Transfer to the WNRC 5 years after superseded by more current analysis. Make available to the NARA when 30 years old.

3. Documents that examine intelligence reports and identify voids that require further analysis in the area or foreign military assessment.

Disposition: Permanent. Transfer to the WNRC 1 year after situation has been remedied. Make available to the NARA when 30 years old.

### **1303 Test Evaluation Files**

**1303-01 Strategic Naval and C3I Systems.** Reviews of test and evaluation (T&E) plans submitted by the armed services and assessment of results. Documents that monitor T&Es conducted by the services for the Defense Acquisition Board (DAB) programs. Reports to the Deputy Secretary of Defense at critical milestones of the T&E cycle. Documents on the tests and evaluation of foreign systems for possible DoD use.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

### **1303-02 Test Facilities and Resources.**

1. Documents providing policy direction and planning guidance concerning the operations and assignment of test programs of the national and major service ranges such as the weapons ranges, White Sands Missile Range, Proving Grounds, Air Test Centers, etc.

Disposition: Permanent. Transfer to the WNRC when superseded or obsolete. Make available to the NARA when 30 years old.

2. Reviews examining the adequacy of the ranges to meet requirements and directives that ensure the avoidance of duplication. Reports examining the compliance and reviewing the adequacy.

Disposition: Destroy 5 years after supersession by a more current review or directive.

3. Record documents of the Major Range and Test Facility Committees. Memberships, charters, agendas, reports, and minutes or meetings.

Disposition: Permanent. Transfer to the WNRC when 5 years old. Make Available to the NARA when 30 years old.

**1303-03 Tactical Air and Land Warfare.** Documents which review Tactical Systems T&E plans, monitor their progress and assess the results. Documents that initiate and coordinate joint T&E programs. Reports at critical milestones.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

#### **1304 Program Control and Administration**

##### **1304-01 Program Control**

1. Documents on all programming and financial activities connected with the RDT&E program including reprogramming requests, the release of deferred funds, and requests from the Emergency Fund.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

2. Program Index of responsibility and programming system records.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

3. Arrangements for computer support for USDR&E activities. These are in the nature of agreements to use DoD facilities on a shared basis.

Disposition: Destroy 1 year after termination of agreement.

4. Documents on across-the-board technical support

programs, general purpose military construction projects, R&D manpower, and formal reviews of all programs.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

5. Management reports and technical information.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 30 years old.

6. New legislation originated within USDR&E.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 20 years old.

7. Focal point for GAO reports.

Disposition: Permanent. Transfer to the WNRC 3 years after program completion. Make available to the NARA when 20 years old.

**1305 Acquisition Policy**

**1305-01 Planning.** Documents that advise on the determination and development of required plans and policy for the effective and efficient management of the R&D requirements generating process, area coordinating papers, development concept papers, and systems engineering. Policies and staff supervision for operation of the Defense Systems Management College.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 20 years old.

**1305-02 Systems Acquisition.** Documents developing positions for review by the DAB. Documents coordinating the work of the various offices in the USDR&E in the preparation of justification for a system acquisition. Briefs and defenses of systems acquisitions.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

**1305-03 Engineering Policy**

1. Documents establishing engineering policy and standards, particularly in regards to performance criteria, reliability, maintainability, and survivability.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 25 years old.

2. Documents that review major programs for compliance with sound engineering practices.

Disposition: Destroy 5 years after program completion.

### **1306 Research and Advanced Technology**

**1306-01 Electronics and Physical Sciences.** Reviews, analyses, and evaluations of DoD technology programs in electronics, associated solid state physics, electronic development, and computer and communications applications. Documents that monitor the related plans, policies, and procedures of the Military Departments to ensure effective implementation. Technical reviews of projects in the physical sciences. Assessments and policies concerned with DoD-sponsored research carried out by industry or educational industry or educational institutions. Reviews and evaluations of the DoD Research Program.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

**1306-02 Environmental and Life Sciences.** Reviews, analyses, and evaluations of DoD programs in the area of medical and life sciences, environmental sciences, social and behavioral sciences, chemical warfare, and biological defense. Documents that monitor the plans, policies, and procedures of the Military Departments to ensure implementation. Reviews and evaluations of the DoD in-house laboratories.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 20 years old.

**1306-03 Engineering Technology.** Reviews, analyses, and evaluations of technical content and responsiveness in engineering requirements. DoD technology programs in area of airframes and aerodynamics, aircraft, rocket and missile propulsion, materials and structure, guided weapons ordnance and land and sea vehicles. Documents that monitor the managerial plans, policies, and procedures of the Military Departments to ensure effective implementation of correct engineering technology.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

**1307 Strategic and Space Systems**

**1307-01 Defensive Systems Files.** Reviews and evaluations of military programs and proposals for R&D that would provide for strategic defense against attack; aircraft and antimissile systems, air-defense ground environment systems, communications and display required for effective control, and related developments. Space-based systems, including surveillance, tracking, mission assessment; active defense measures and related developments. Recommendations for appropriate action and funding of all such programs. Studies and plans to meet the future needs of defense.

**Disposition:** Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

**1307-02 Offensive and Space Systems.** Reviews and evaluations of military programs and proposals for R&D for strategic attack to include military space systems used for their control. Plans and recommendations for appropriate action and funding for such programs.

**Disposition:** Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

**1307-03 Advanced Systems.** Reviews and evaluations of military programs and proposals for space and advanced systems such as radiation weapons, tactical warning, air-breathing vehicles, and orbit to orbit. Studies and analyses of potential future problems in maintaining effective forces. Planning and budgeting documents for assigned programs.

**Disposition:** Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

**1307-04 Cruise Missile Systems (NC1-330-80-5).**

1. Reviews and evaluations of military programs and proposals for cruise missiles and associated platforms including air, sea, and ground-launched conventional and nuclear armed cruise missiles and aircraft, ships, submarines and ground systems to support their launch.

2. Studies and analyses of potential future problems in maintaining effective forces.

3. Planning and budgeting documents for assigned programs.

**Disposition:** Permanent. Transfer to the WNRC when obsolete

or superseded. Make available to the NARA when 30 years old.

### **1308 Tactical Warfare Programs**

**1308-01 Air Warfare Files.** Plans for the allocation of development resources between air warfare, deep-strike, counter-air, defense suppression, and tactical reconnaissance. Documents that manage the coordination, and that propose a development budget. Reviews of development and prototype production activities conducted under the authority of the Area Coordination Papers.

**Disposition:** Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

**1308-02 Land Warfare Files.** Plans for the allocations of development resources between the various areas comprising land warfare: close combat, fire support, field army air defense, and battlefield surveillance. Documents managing the preparation and coordination of major development activities in land warfare. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Recommendations for a budget for specific land warfare developments.

**Disposition:** Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

**1308-03 Naval Warfare (Formerly known as Ocean Control).** Plans for the allocation of development resources between the various areas comprising naval warfare: fleet offensive operations, antisubmarine warfare, and ocean surveillance. Documents managing the preparation and coordination of major development activities in naval warfare. Reviews of development and prototype production conducted under authority of the Area Coordination Papers. Recommendations for a budget for specific naval warfare developments.

**Disposition:** Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

**1308-04 Armament and/or Munitions Requirements and Development (ARMAD) Files (NC1-330-80-5).** Documents relating to the development of harmonized requirements which fulfill more than one Service's munitions and associated subsystem needs, and the achievement of interchangeability with munitions in use or planned use by NATO Allies. Included are: recommendations for resolving joint service standardization problems; development of guidelines for standardization of requirements in munitions and associated equipment; recommendations concerning munitions development, production, or modification; identification of munitions areas where additional development would improve standardization probability, operational effectiveness, and

compatibility; and evaluation of programs for munitions likely to be in existence in the future, analysis of problem areas and opportunities to converge requirements and make appropriate recommendations for joint-use.

Disposition: Permanent. Transfer to the WNRC 5 years after cutoff of current files. Make available to the NARA when 30 years old.

**1309 International Programs.** Documents providing guidance and technical direction to international R&D efforts through exploration and establishment of cooperative research, development, and production programs with U.S. Allies for weapons systems to increase commonality, improve effectiveness, reduce duplications and redundancy, and realize cost savings.

Disposition: Permanent. Transfer to the WNRC when obsolete or superseded. Make available to the NARA when 30 years old.

**1309-01 Case record** documenting the DoD position on export licenses proposed by the Department of Commerce for foreign trade, or by the Department of State, if a foreign government is involved. They involve the sale or trade of U.S. technology and/or products of a technical nature that may be Defense-related. The record copies of these licenses are retained by Commerce or State, as appropriate.

Disposition: Convert to microform and destroy the hard copy when ascertained that reproduced copies are adequate substitutes for the paper records, and filmed in accordance with standards in [41 CFR 101-11.506 (reference (f))]. Transfer the microfilm to the WNRC when 5 years old. Destroy when 10 years old.

**1309-02 Foreign Scientist Case File.** Case files on foreign scientists accumulated in connection with DoD programs under which foreign scientific personnel were encouraged to emigrate to the U.S. Files include completed applications, correspondence with potential employers, records accumulated in connection with security clearance investigations, travel orders, household goods shipment records, and other materials.

Disposition: Offer all records to the NARA for a determination of historical value when 15 years old.

1. Records of historical value.

Disposition: Permanent. Transfer to the NARA.

2. All other records.

Disposition: Temporary. Destroy when 15 years old.

**1400 Program Analysis and Evaluation** (NC1-330-77-3, except where indicated). Program Analysis and Evaluation (PA&E) participates in the development of policies, plans, and guidance upon which DoD programs are based through: performing analyses and evaluations of plans, programs, and budgets in relation to U. S. defense objectives, projected threats, allied contributions, estimated costs and resource constraints; developing and evaluating alternative program proposals to rectify deficiencies; initiating actions to ensure the Department's programs adhere to the Secretary's policies and promote achievement of national security objectives; reviewing, analyzing, and evaluating programs for executing approved policies; ensuring that the costs of DoD programs are presented accurately and completely. Also assesses the effects of DoD spending on the U. S. economy, and evaluates alternative policies to ensure that the DoD program can be implemented efficiently. Provides leadership in developing and promoting improved analytic tools and methods for analyzing national security planning and the allocation of resources. Unless otherwise indicated, all files described in this section will be transferred to NARA after 30 years.

**1401 Reserved.**

**1402 Strategic and Space Programs Files.** This office analyzes and evaluates the cost and operational effectiveness of alternative programs for strategic strike (i.e., strategic nuclear and conventional offensive forces); strategic defense; theater ballistic missile defense, space systems (including satellites, launch vehicles, and ground support); strategic command, control, communications and intelligence (C3I) systems; defense-wide C3 systems; chemical and biological defense; chemical stockpile destruction, science and technology; arms control compliance and verification; and nuclear nonproliferation. Consequently, it reviews and develops alternatives to Service, Defense Agency, and OSD proposals in these areas.

**1402-01 Strategic Strike and Arms Control Programs.** These files contain analyses and evaluations of U.S. strategic force posture requirements, including inter-continental ballistic missiles (ICBMs), submarine-launched ballistic missiles (SLBMs), cruise missiles, short-range nuclear attack missiles, and strategic bombers. The files also contain analyses of the implications of the Strategic Arms Reduction treaties (START) and other agreements and proposals related to present and future U. S. and Soviet strategic capabilities, and analyses of the strategic balance.



Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1402-02 Strategic Defensive and Space Programs.** These files contain analyses and evaluations of U. S. strategic defensive force postures and requirements, including strategic and theater ballistic missile defense, space defense, strategic air defense, chemical and biological defense, civil defense, space-based attack warning and surveillance, defense-wide C3, and strategic command, control, communications, and intelligence. The files also contain analyses and evaluations of space support programs. Finally, they contain analyses of U. S. plans for chemical weapons demilitarization.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01. supersession.

**1403 Resource Analysis Files.** These files document the execution of PA&E's responsibilities for the Defense Resources Board (DRB) Program Review and other similar reviews. They contain cost analyses in support of the Planning, Programming, and Budgeting System (PPBS) and the Defense Acquisition Board (DAB) as well as studies and analyses of defense resource and economic issues.

**1403-01 Force and Infrastructure Cost Analysis.** These files document studies of operating and support (O&S) costs for major weapons systems and the methodologies for estimating force structure costs. The files also contain analytical cost estimates for the issues related to force structure alternatives, reviews of O&S cost estimates for all weapon systems and full life cycle costs for strategic missile systems and combat vehicles submitted for milestone and program reviews by program offices and Service independent cost agencies. Documents the collection and reporting of actual O&S costs by weapon system through the "Visibility and Management of Operating and Support Costs" (VAMOSOC) program. Also documents analytical and administrative support for the programming phase of the PPBS, including preparation and publication of the POM Preparation Instructions, the preparation, review and consolidation of issues for presentation to the DPRB, and the preparation and publication of the Program Decision Memorandum.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1403-02 Operations Analysis and Procurement Planning.**

Documents the OSD CAIG review independent cost estimates for major defense acquisition programs submitted for milestone and in-progress review in support of the DAB. Contains cost analyses in support of the DRB, recommendations to the USD(A&T) for the certification of cost estimates to the Congress required by the Nunn-McCurdy law, and documents analytical cost support to other PA&E offices and to the OSD staff on such matters as re-pricing different acquisition strategies. Also contains reviews of Military Departments' data plans for contractor cost data reports and research to improve methods of cost analysis, and documentation supporting role of directing research by contractors in the field.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1403-03 Economic Analysis and Resource Planning.** These files document PA&E's role in the sponsorship and conduct of economic and financial analyses of major defense programs that include the fiscal guidance and procedures for the DPRB Program Review, price indexes and outlay rates for defense purchases, and published results of the Defense Economic Impact Modelling System. Also economic analyses of manpower, environmental, medical, acquisition, and other defense programmatic issues as well as analyses of the industrial base, major systems acquisition strategies, independent research and development/bid and proposal, science, engineering, and technology programs. Documents research into the economics of defense acquisition, sources and composition of cost variances, the effects of defense purchases on national economy, and other defense economic issues.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-03.

**1403-04 Weapons System Cost Analysis.** These files contain technical studies of the life cycle costs of major weapons systems; independent analyses of life cycle costs of major weapon systems in support of the Defense Acquisition Board (DAB) and DAB committee program and milestone reviews, including reviews and evaluations of the costs and costing methodology used in major weapons systems cost and operational effectiveness analyses (COEAs). Also included are assessments of the reasonableness of the program acquisition unit costs and current procurement unit costs in support of Secretary of Defense certifications to Congress as well as all costs shown in acquisition program baselines (APB) and defense acquisition economic summary (DAES) reports. Also documentation supporting PA&E's role as central

manager of the contractor cost data report (CCDR) Program.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1404 Theater Assessments and Planning Files.** These files contain analyses of U. S. interests worldwide, threats to those interests, and the capabilities (including deployment capability) of the U.S. and potential allies to meet those threats. Evaluations of alternative U. S. and allied military postures; projections of the cost and manpower requirements of the approved and alternative defense programs beyond the program years; evaluations of the cost and effectiveness of major automated information systems (AIS) that support Department operations. Records also include extensive data bases and analytical methods/models used in analyses and records of PA&E's AIS and contract research programs.

**1404-01 Europe and Pacific Forces.** These files contain studies and analyses of force capabilities, requirements, and defense programs and security assistance programs affecting NATO, Asia, Pacific basin, Caribbean, Central and South America, and Africa. These are maintained on a country, regional or theater-level basis. Also documents PA&E's function as the focal point for special operations, anti-drug, mobilization and crisis management planning and programming.

Disposition: Permanent. Cut off and transfer to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1404-02 Projection Forces.** These files contain documents supporting the reviews and analyses of policies and programs that support the U. S. ability to project combat forces overseas, including the capability to move forces and equipment between and within theaters by air, sea, and land transportation or by prepositioning; programs involving forces earmarked for rapid movement; programs designed to facilitate the command and control of mobility forces and their cargoes; programs designed to facilitate our regional policies and strategy in Southwest Asia; wartime medical programs; emergency use of civil transportation resources; indirect support airlift forces; and mobility support forces.

Disposition: Permanent. Cut off and transfer to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1404-03 Planning and Analytical Support.**

1. Files documenting PA&E's role in directing analyses of

the long-range military capability and resource implications of current and alternative DoD programs.

2. Implementing a PA&E-wide information architecture comprised of data bases, models, computer-based methodologies for conducting program analysis and evaluation, and computer systems, networks and services, and submissions of budgets and budget justifications supporting that information architecture.

3. Plans, programs, and contracts for development, maintenance, and employment of data bases and analytical tools for use by analysts throughout PA&E and the DoD.

4. Coordination of PA&E involvement in and review of Corporate Information Management programs and initiatives.

5. Cost/benefit analyses of automated information systems and support of PA&E participation in the deliberations of the Major Automated Information Systems Review Council (MAISRC).

6. Documentation of oversight function for the planning and use of contract advisory assistance services, policies and procedures affecting the PA&E contract study program, and monitoring of progress of contract efforts.

Disposition: Permanent. Cut off and retire to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1405 General Purpose Programs Files.** These files contain documents pertaining to PA&E's role in directing the analysis and evaluation of the force levels and mixes of U. S. general purpose air, land, and naval forces, including their affordability, effectiveness, capabilities, and readiness. Also contain summaries of alternative forces and acquisition programs for review by the Secretary and Deputy Secretary of Defense in making critical decisions on the allocation of Defense resources.

**1405-01 Land Forces.** These files document reviews and analyses of DoD Army and Marine Corps Active and Reserve land forces, combat and support, weapons systems requirements, and alternative mixes and levels of land force structures as well as the development and procurement programs to determine the most cost effective alternatives for planning, programming, and budgeting purposes.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1405-02 Naval Forces.** These files document reviews and analyses of naval forces including Anti-Submarine Warfare, anti-air warfare, amphibious, fire support, cruise missiles, naval ASW and AAW weapons, mine countermeasures, combat logistics/replenishment, surface combatants, attack submarines, undersea surveillance, fleet escort and shipbuilding programs.

Disposition: Permanent. Cut off and retire to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1405-03 Tactical Air.** These files document reviews and analyses of tactical air forces (active and Reserve), including land- and sea-based aircraft for air-ground support operations, air-to-air combat, interdiction, reconnaissance, and other support missions. Reviews and analyses of theater and fleet air defense forces.

Disposition: Permanent. Cut off and retire to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1405-04 Force Structure Analysis.** These files contain analyses and evaluations of the overall planning basis for the general purpose force structure, including mission definition, scenario assumptions, and intelligence support. Documents development of conceptual approaches for cross-service, cross-mission analysis and relation of mission-level analysis to systems acquisition issues. Also includes governmental and non-governmental analyses of general purpose program force structure and force effectiveness issues; special studies ranging from specific analyses such as "land forces for Latin American contingencies" to general assessments such as a study of overall general purpose force forward presence needs.

Disposition: Permanent. Cut off and retire to WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1500 Atomic Energy Files** (NC1-330-76-3, except where otherwise noted). These files pertain to the functions of OSD Atomic Energy matters. Unless otherwise indicated, Atomic Energy files identified as permanent will be offered to the NARA when 30 years old.

**1501 Reserved** (see 103, Common Mission Files).

**1502 Assistant to the Secretary of Defense (Atomic Energy) Files**

**1502-01 Immediate Office Files.** DoD atomic energy policy on such matters as military information disclosure, movement of atomic devices, disclosures to foreign governments, accidents, and safety. Advice to the Secretary of Defense, studies, analyses, evaluations, and appraisal of the DoD Nuclear Weapons Development Guidance annual report. Exchange of atomic energy information and advice to the Senate and House Armed Services Committees.

**Disposition:** Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for policy-type documents maintained in accordance with series 103-01.

**1502-02 Military Liaison Committee.** Committee charter, membership, and minutes of meetings. Correspondence with the Department of Energy (DoE) and the Department of Defense on atomic energy matters concerning the military. Studies, evaluations, advice to the Department of Defense related to military applications of atomic weapons or energy.

**Disposition:** Permanent. Cut off when no longer needed for current operations. Retire to the WNRC 5 years after cut off or when the committee is abolished, as prescribed for the office of record for committee documents maintained in accordance with series 103-06.1.

**1503 Office of the Assistant to the Secretary of Defense (Atomic Energy) (Chemical Matters) (NC1-330-87-2)**

**1503-01 Reserved.**

**1503-02 Chemical Warfare Files.** Policies and guidance governing DoD planning and program development on all chemical matters, suggestions, for change, preparation, and interpretations.

**Disposition:** Permanent. Cut off annually. Retire to the WNRC after 5 years.

**1503-03 Reserved.**

**1503-04 Studies, Tests, Projects Files.** Copies of documents relating to the design, development, and testing of systems and concepts, technical reports, research papers, project documents, technical and scientific data, manuscripts and analyses.

**Disposition:** Permanent. Cut off annually. Retire to the WNRC after 5 years. Transfer to the National Archives in 5-year blocks when 30 years old.

**1503-05 Reserved.**

**1503-06 Legislative Affairs Files.** Documents on the legislative programs in the area of chemical matters; letters to and from congressional committees or individual members, monitoring of individual programs, coordinating congressional requirements.

**Disposition:** Permanent. Cut off annually. Retire to the WNRC after 5 years. Transfer to the National Archives in 5-year blocks when 25-30 years old.

**1503-07 National Affairs Files.** Documents on the exchange of information and advice on chemical matters with other United States Government (USG) Agencies or activities, related correspondence, and copies of agreements.

**Disposition:** Permanent. Cut off annually. Retire to the WNRC after 5 years.

**1503-08 International Affairs Files.** Documents on the exchange of information and advice on chemical matters with foreign allies, related correspondence, and copies of agreements.

**Disposition:** Permanent. Cut off annually. Retire to the WNRC after 5 years.

**1600 Machine Readable and Word Processing Records (GRS 20)**

**General.** This section applies to electronic records routinely stored on magnetic or other mass-storage media created by OSD components and maintained in central data processing installations, including facilities operated by contractors. Also included are microcomputer files stored on hard disks, floppy disks, or other storage media used on microcomputers in individual OSD action offices. This series also covers electronic records creation and administration activities by computer operators, programmers, analysts, systems administrators, and microcomputer users. See also enclosure 12, "Electronic Records," to this Instruction.

**1601-01 Master Files.**

a. Electronic files or records created solely to test system performance, such as test records, as well as related documentation for the electronic files/records.

**Disposition:** Destroy or delete when no longer needed.

b. Electronic files or records used to create or update a master file, including but not limited to, work files, valid transaction files, and intermediate input and/or output records.

**Disposition:** Delete after information has been transferred to the master file and verified.

c. Electronic files created to monitor system usage, including, but not limited to, log-in files, password files, audit trail files, system usage files, and cost-back files used to assess charges for system use.

**Disposition:** Delete when no longer needed.

**1601-02 Input and/or Source Records.**

a. Non-electronic documents or forms designed and used solely to create, update, or modify the records in an electronic medium and not required for audit or legal purposes (such as for signatures) and not previously scheduled for permanent retention in a NARA-approved agency records schedule.

**Disposition:** Destroy after the information has been converted to an electronic medium and verified, or when no longer needed to support the reconstruction of, or serve as the backup to, the master file, whichever is later.



b. Electronic records, except as noted in 1601-02c, entered into the system during an update process, and not required for audit and legal purposes.

Disposition: Delete when data have been entered into the master file or data base and verified, or when no longer required to support reconstruction of, or serve as back-up to, a master file or data base, whichever is later.

c. Electronic records received from another agency and used as input/source records by the receiving agency, EXCLUDING records produced by another agency under the terms of an interagency agreement, or records created by another agency in response to the specific information needs of the receiving agency.

Disposition: Delete when data have been entered into the master file or data base verified, or when no longer needed to support reconstruction of, or serve as back up to, the master file or data base, whichever is later.

d. Computer files or records containing uncalibrated and unvalidated digital or analog data collected during observation or measurement activities or research and development programs and used as input for a digital master file or data base.

Disposition: Delete after the necessary data have been incorporated into a master file.

**1601-03 Master Files Relating to Administrative Functions.**  
(Includes master files that are components of data base management systems.) Master files that:

a. Replace, in whole or in part, administrative records scheduled for disposal elsewhere in this Instruction.

b. Consist only of the same information as is contained in all or portions of the disposable records it replaces or duplicates excluding those included in disposition schedules outlined elsewhere in this Instruction.

Disposition: Delete after the expiration of the retention period authorized for the disposable hard-copy file or when no longer needed, whichever is later.

**1601-04 Summarized Information Data Files.** These are records that contain summarized or aggregated information created by combining data elements or individual observations from a single master file or data base. They are disposable under a General Records Schedule item or a schedule included elsewhere in this Instruction approved by the NARA after January 1, 1988.

This excludes data files that are created as disclosure-free files to allow public access to the data, or created from a master file or data base that is: unscheduled; scheduled as permanent but no longer exists; or can no longer be accessed. These files may not be destroyed before securing the NARA approval.

Disposition: Delete when no longer needed.

**1601-05 Records Consisting of Extracted Information.**

Electronic files consisting solely of records extracted from a single master file or data base that are disposable under another schedule in this Instruction excluding extracts that are: produced as disclosure-free files to allow public access to the data; produced from a master file or data base that is unscheduled, or that was scheduled as permanent but no longer exists; can no longer be accessed; or produced by an extraction process which changes the informational content of the source master file or data base. These files may not be destroyed before securing NARA approval. For print and technical reformat files see 1601-06 and -07 respectively.

Disposition: Delete when no longer needed for current business.

**1601-06 Print File.** Electronic file extracted from a master file or data base without changing it and used solely to produce hard-copy publications and/or printouts of tabulations, ledgers, registers, and reports.

Disposition: Delete when no longer needed.

**1601-07 Technical Reformat File.** Electronic file consisting of data copied from a master file or data base for the specific purpose of information interchange and written with varying technical specifications, excluding files created for transfer to the National Archives.

Disposition: Delete when no longer needed.

**1601-08 Security Backup Files.** Electronic files consisting of data identical in physical format to a master file or data base and retained in case the master file or data base is damaged or inadvertently erased.

a. File identical to records scheduled for transfer to the NARA.

Disposition: Delete when the identical records have been

transferred to the NARA and successfully copied, or when replaced by a subsequent security backup file.

b. File identical to records authorized for disposal in a NARA-approved records schedule.

Disposition: Delete when the identical records have been deleted, or when replaced by a subsequent security backup file.

**1601-09 Finding Aids or Indexes.** Electronic indexes, lists, registers, and other finding aids used only to provide access to records authorized for destruction elsewhere in this Instruction excluding records containing abstracts or other information that can be used as an information source apart from the related records.

Disposition: Delete when related master file or data base has been deleted.

**1601-10 Documentation.** Data system specifications, file specifications, codebooks, record layouts, user guides, output specifications, and final reports (regardless of medium) relating to a master file or data base that has been authorized for disposal elsewhere in this Instruction, excluding documentation on any unscheduled master file or data base or relating to any master file or data base scheduled for transfer to the NARA.

Disposition: Destroy or delete when superseded or obsolete, or upon authorized destruction of related master file or data base.

**1602 Word Processing Files.** These files do not include activity schedules, suspense files, transitory files, tracking and control record files, and finding aids or indexes. Disposition instructions for these or like administrative files may be found in the 100 series chapter of this Instruction.

**1602-01 Office Word Processing Files.** Documents such as letters, messages, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes:

a. When used to produce hard copy that is maintained in organized files.

Disposition: Delete when no longer needed to create a hard copy.

b. When maintained only in electronic form, and duplicate the information in and take the place of records that would otherwise be maintained in hard copy providing that the hard copy has been authorized for destruction by an approved

disposition schedule.

Disposition: Delete after the expiration of the retention period authorized for the hard copy.

**1602-02 Administrative Data Bases.** Data bases that support administrative or housekeeping functions, containing information derived from hard copy records authorized for destruction by an approved records disposition schedule, if the hard copy records are maintained in organized files.

Disposition: Delete information in the data base when no longer needed.

**1602-03 Electronic Spreadsheets.** Spreadsheets that are recorded on electronic media such as hard disks or floppy diskettes:

a. When used to produce hard copy that is maintained in organized files.

Disposition: Delete when no longer needed to update or produce hard copy.

b. When maintained only in electronic form.

Disposition: Delete after the expiration of the retention period authorized for the hard copy. If the electronic version replaces hard copy records with differing retention periods, and agency software does not readily permit selective deletion, delete after the longest retention period has expired.

**1602-04 Electronic Calendars.** These calendars contain schedules of daily activities such as appointment books, logs, schedules, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities excluding materials determined to be personal.

a. Records containing substantive information that has not been incorporated into official files EXCLUDING records on the official activities of heads of departments and independent agencies, their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of office, bureaus, or equivalent; principal regional officials; staff assistants to those officials; and career Federal employees, political appointees, and offices of the Armed Forces serving in equivalent or comparable positions, which are scheduled by the submission of an SF 115 to the NARA.

Disposition: Delete when 2 years old.

b. Records documenting routine activities containing no substantive information or documents that do contain substantive information that have been incorporated into the official office files.

Disposition: Delete when no longer needed.

**1700 United States Court of Military Appeals (NC1-330-79-11)**  
General. Court-martial records of trials originating in the Military Departments reviewed in the U.S. Court of Military Appeals, consisting of the pre-trial, trial, and post-trial procedures, actions by the convening authorities, and decisions of the Court of Military Review. Original record of trial is returned to the originating Service after final action.

**1701 Appellate and Original Documents and Pleadings** consisting of certificates for review, petitions for review, petitions for extraordinary relief, orders, briefs, miscellaneous motions, and the final actions.

**1701-01 Appeals Withdrawn** or resulting in denial or dismissal.

**Disposition:** Retire to the WNRC when 5 years old.  
Destroy when 50 years old.

**1701-02 Certificates and Appeals Granted.**

**Disposition:** Retire to the WNRC when 5 years old.  
Destroy when 50 years old.

**1701-03 Petitions for Extraordinary Relief.**

**Disposition:** Retire to the WNRC when 5 years old.  
Destroy when 75 years old.

**1702 Judges' Sheets** consisting of central staff memoranda of law, vote sheets, and similar internal working documents.

**Disposition:** Retire to the WNRC when 5 years old.  
Destroy when 50 years old.

**1800 Personnel and Readiness.** (NC1-330-77-10, except where otherwise noted, e.g., citations pertaining to Common Mission Files (103-series), which were approved under NC1-330-92-1, or to items listed in a General Records Schedule (GRS). NB: These files were previously listed under the 600 series.)

Functional files of the OSD on personnel and readiness with specific responsibilities for developing DoD personnel policies and legislative proposals. This does not include the custody or control of personnel records of individuals assigned to the OSD. Files described herein may be further subdivided depending upon volume by use of decimal suffix. For example: 1801-08.1 thru 1801-08.15. Unless otherwise indicated, records returned to the Washington National Records Center (WNRC) will be offered to the NARA when 30 years old.

**1801-01 - 1801-10 Reserved** (see 103, Common Mission Files).

**1801-11 Assistant Secretary of Defense (ASD) Weekly Activity Reports:** Internal communications between the Deputy Assistant Secretaries of Defense (DASDs) and/or Division Directors and ASD and/or Principal Deputy Assistant Secretary of Defense (PDASD).

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for papers filed in accordance with series 103-08.3.  
needed for reference, whichever is sooner.

**1802 Civilian Personnel Policy and/or Equal Opportunity.**

**1802-01 Personnel Management Files.** These files consist of:

1. Copies of OPM regulations and Executive Orders governing administration of civilian employees.
2. Civilian personnel management policy documents prescribing broad policy for DoD civilian personnel.
3. Policy documents on overseas civilian employment, length of tour, placement, employment of aliens, reviews of program administration and consolidation for changes to meet local conditions.

**Disposition:** a. Cut off policy documents and retire to the WNRC when superseded or obsolete, as prescribed for papers filed in accordance with series 103-01. b. Destroy regulations and Eos when superseded, obsolete, or no longer needed for reference purposes, as prescribed for papers filed in accordance with

series 102-01. c. Correspondence and other papers of a routine nature, destroy when superseded, obsolete, or no longer needed for reference, as prescribed for materials maintain in accordance with series 103-08.3.

**1802-02 Labor Management Relations Files.**

1. General statements of policy or guidance.

Disposition: Permanent. Cut off and retire to the WNRC upon supersession or obsolescence, as prescribed for documents maintained in accordance with series 103-01.

2. Documents relating to the review of collective bargaining agreements between labor organizations and DoD Components which are reviewed at the DoD level. Labor arbitration general and case files.

Disposition: a. Collective bargaining agreements--office negotiating agreements, destroy 5 years after expiration of agreement; other offices, destroy when superseded or obsolete. b. Labor arbitration general and case files, destroy 5 years after final resolution of the case (GRS 1, Item 28) (reference (p)).

3. Documents on the granting of national consultation rights to labor organizations.

Disposition: Permanent. Retire to WNRC 5 years after termination. (NC1-330-77-10)

**1802-03 Compensation and Position Management.** Documents that allot spaces for top-level scientific, professional and executive personnel and standards which assure effective use of such spaces. Documents approving salaries, wages, fringe benefits, and such pay policies as appropriate for DoD employees. Includes directives and statistics.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for records maintained in accordance with series 103-01.

**1802-04 Staffing Policies and Programs.** Directives promulgating policy on merit promotion, re-employment rights, and overseas return placement. Documents that provide guidance on accessions placement, transfer, or separation as a result of base closures, consolidations, and/or reductions. Administrative papers of the DoD programs for stability of civilian employment and associated automated placement programs; broad policy and educational institutions.

Disposition: Permanent. Cut off and transfer to the WNRC



when superseded or obsolete, as prescribed for materials maintained in accordance with series 103-01.

**1802-05 Employee Training and Career Development.**

Documents establishing policies and standards governing the administration of civilian employee training programs and career development.

**Disposition:** Permanent. Cut off and transfer to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1802-06 Technical Staff-DoD Wage Fixing Authority.**

Documents that approve salaries, wages, premium pay, allowances and differentials, and such other pay policies as appropriate for DoD employees paid from appropriated funds.

**Disposition:** Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1802-07 Technical Staff-DoD Nonappropriated Funds.**

Documents which approve salaries, wages, premium pay, allowances and differentials, and such other pay policies as appropriate for Department of Defense employees paid from nonappropriated funds.

**Disposition:** Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1802-08 Equal Opportunity -- Civilian.** Policy on equal opportunity and affirmative action programs. Annual reports from the Services on attainment of affirmative action goals. Policy on compliance requirements, and sanctions if necessary to promote employment and minority business enterprise program. Employment of minorities and women; policies and directives. Liaison with other government agencies and with the Labor Department on training programs.

**Disposition:** Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1802-09 Equal Opportunity -- Military.** This file consists of policy on equal opportunity in the military service, compliance monitoring of Services' programs, and reports on the subject. Also policy on off-base housing nondiscrimination, semiannual reports from the Services on number of facilities surveyed, numbers of complaints, etc., and policy on

nondiscrimination of federally assisted programs such as with educational institutes -- Defense Equal Opportunity Management Institute, establishing and managing the program; charter, correspondence, membership, minutes of the Defense Human Relations Education Board, and statistics on program progress representing percentages of minorities and women by rank or grade and analysis of the data to measure program progress.

Disposition: a. Policy matters are permanent. Cut off and retire to the WNRC when obsolete or superseded, as prescribed for papers maintained in accordance with series 103-01. b. Committee-type files are permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cutoff, or when the committee is abolished, as prescribed for records maintained in accordance with series 103-06.

### **1803 Military Manpower and Personnel Policy**

**1803-01 Compensation Administration.** Policy determinations regarding all basic compensation issues, taxes and retirement, and survivor benefits.

1. Basic compensation policy issues. Policy determinations with respect to basic pay benefits, special and incentive pays, travel and transportation allowances, permanent change of station (PCS) travel, tour lengths and unit rotation. Compensation studies, programs, Joint Federal Travel Regulations (JFTR) (reference (dd)), trip reports, minutes of compensation-related committees.

Disposition: a. Policy papers are permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for papers maintained in accordance with series 103-01. b. Committee-type records are permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cutoff, or when the committee is abolished, as prescribed for records maintained in accordance with series 103-06.

2. Armed Forces Tax Council and Military Taxation Program (was 607-03). Procedures, actions recommended, minutes, and other administrative matters concerning the Armed Forces Tax council (DoDD 5124.3) (reference (ee)). Policy determinations regarding problems associated with military taxation (Federal, state, local, and foreign). Also, policy directives, studies and recommended alterations to current programs, and initiations of and responses to proposed legislation.

Disposition: a. Policy matters are permanent. Retire to the WNRC when superseded or obsolete, as prescribed for papers maintained in accordance with series 103-01. b. Committee-type records are permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cutoff, or when

the committee is abolished, as prescribed for records maintained in accordance with series 103-06.

3. Retirement and Survivor Benefits. Policy reviews provided for standardization and uniformity in implementing laws pertaining to retirement and survivor entitlement (including former spouse matters) and interactions with social security and payments from the Department of Veterans Affairs. Also, policy directives, studies and recommended alterations to current programs, and initiations of proposed legislation.

Disposition: a. Policy matters are permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for papers maintained in accordance with series 103-01. b. Instructional-type materials are permanent. Cut off annually or on supersession or obsolescence, as reference needs require, and retire to the WNRC, as prescribed for materials maintained in accordance with series 103-02. (See Section 213 for disposition of master copies of DoD publications for which Personnel & Readiness is the OPR.)

**1803-02 Defense Advisory Committee on Women in the Services (DACOWITS).**

Charter, correspondence, minutes, recommendations of the DACOWITS, which advises and assists the Secretary of Defense on policies that pertain to women in the military. This is a large committee, consisting of approximately 35 appointed civilian men and women. The members meet periodically throughout the year; formal conferences are convened each Spring and Fall and committee recommendations and requests are forwarded to the Secretary of Defense at that time.

Disposition: Permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cutoff, as prescribed for papers maintained in accordance with series 103-06.

**1803-03 Officer and Enlisted Management Systems.**

1. Policy matters on military personnel management systems including grade and rank distribution.

2. Analyses of monthly reports, proposed legislation on distribution, service justifications for distribution of thumb rules. Establishment of grade ratio in certain occupational areas. Procedures in processing all temporary promotion lists.

3. Validation of Flag and general officer positions

(officers 07 and above).

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for papers maintained in accordance with series 103-01.

4. Detail action files. Case files relating to detail actions on individual military members and civilian employees.

Disposition: Destroy when 5 years old, as prescribed for personnel-type documents maintained in accordance with series 202-01.2.

**1803-04 Personal Commercial Affairs.** Policy on life and motor vehicle insurance. Studies which lead to policy directives, consideration of possible legislative changes, etc. Policies on operation of credit unions such as the Pentagon Federal Credit Union. Documents on consumer protection activities and assistance to the Military Services.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for records maintained in accordance with series 103-01.

**1803-05 Personnel Activities and Facilities.** Policies which determine the establishment, continuation and operation of commissary stores; where authorized, surcharges, etc. Policy and coordination with the House Armed Services Committee governing the operation and directives of military exchanges. Policies on the operation of open messes (clubs) and special service activities such as athletic facilities.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1803-06 Personnel Administration.** This file consists of policy documents on awards and decorations such as the Joint Service Commendation Medal, Vietnam Service Medal, and others of a joint-service nature; processing of Medal of Honor Awards; policy on foreign awards, trophies and similar devices of recognition. Also contains morale and recreation documents, coordination with the USO, and policy on utilization of military personnel in such activities; policy on duty tour length of military and dependents, CONUS and for each area overseas or specific agencies or activities such as attached duty; policy on a uniform standard leave and/or liberty pass; advance, excess convalescent, retirement leaves and for special leaves such as after hazardous duty, long holidays, etc. Also includes policy prescribing a uniform report of casualties and assistance to next-of-kin programs; policy and administrative matters

concerning the Fleet and Army post offices; documents which coordinate POW and/or MIA activities; and liaison with interested citizen groups, reports to Congress, and similar data.

Disposition: a. Cut off and retire policy papers to the WNRC when obsolete or superseded, as prescribed for papers maintained in accordance with series 103-01. b. Documents relating to the processing of MOH are permanent. Cut off and retire to the WNRC when 5 years old. c. Correspondence with citizen groups such as the USO, cut off after 3 years, retire to the WNRC; destroy when 30 years old. d. Documents on POW and/or MIA activities and reports to Congress on this subject are permanent. Retire to the WNRC when 10 years old. e. Reference papers may be destroyed when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-08.3.

**1803-07 Armed Forces Chaplain's Board Files.**

Contains policy documents, charter, general correspondence, directives, advisory group membership and meeting minutes, board minutes, coordination with civilian churches on chaplain matters, and other such matters of mutual interest.

Disposition: Permanent. Cut off when no longer needed for current operations. Retire to the WNRC 5 years after cutoff or when the committee is abolished, as prescribed for documents maintained in accordance with series 103-06.

**1804 Manpower, Research, and Utilization**

**1804-01 Procurement Policy.** Policies on servicewide and retention programs; policies establishing Armed Forces Examining and Entrance Stations (AFEES), Military Entrance Processing Stations (MEPS); reports on rejections after reporting; procedures on placement of Selective Service calls, induction quotas and other information. Also includes policy regarding mobilization of the Standby Reserve; regulations on deferments and reference material on the Selective Service System (SSS).

Disposition: a. Cut off and retire policy documents to the WNRC when superseded or obsolete, as prescribed for papers maintained in accordance with series 103-01. b. Consolidation of rejection reports are permanent. Retire to the WNRC when no longer required; individual rejection reports, destroy when 1 year old. c. Destroy SSS reference information when no longer needed, as prescribed for documents maintained in accordance with series 103-08.3.

**1805 Automated Data Processing Files (Personnel & Readiness)**

**1805-01 Annual Inventory of Commercial or Industrial activities.** This is a magnetic tape file of the cost of such services performed in DoD and the amount contracted for from non-DoD activities.

**Disposition:** Scratch tapes and destroy hardcopy output when no longer needed for reference.

**1805-02 Reserve Components Master History File.**  
A magnetic tape file recording the strength of U. S. National Guard and Reserve Components, as well as individual statistics such as education level.

**Disposition:** a. Hardcopy monthly output, "Official Guard and Reserve Manpower Strength and Statistics," is permanent. Retire one copy of each report to the WNRC when no longer needed for reference purposes. b. Microfiche of monthly computer output, destroy when no longer required for reference. c. Mag tapes, scratch when no longer required for statistical studies and after the next regular update.

**1805-03 Retirees Personnel Master File and Survivor Beneficiaries Master File.** This is a data bank of all retired personnel input on ADP tape from each Military Service finance center. The master file is recreated annually, the name and social security numbers stripped and the data used for actuary studies in the OSD.

**Disposition:** Retrain master tape for 4 years, then scratch for reuse.

**1806 Requirements and Resources (R&R)**

**1806-01 Legal and Selected Policies Files.** This file consists of legislative proposals on military personnel matters with supporting documentation, policy matters on discipline, separations, absenteeism, desertions, conscientious objectors, and other special problems such as POWs; annual reports from the Services on status of problems such as number of deserters, courts-martial and the like.

**Disposition:** a. Policy matters and annual reports are permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01. b. Reference materials destroy when superseded or obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 103-08.3.

**1806-02 Personnel & Readiness Congressional Issues.** This file contains documents related to Personnel and Readiness interaction with the Congress to include Congressional reports, Congressional interest items, appeals to Congressional committee actions, testimony, statements, inserts for the record.

**Disposition:** Destroy when superseded, obsolete or no longer needed for reference, as prescribed for papers maintained in accordance with series 103-08.3.

**1806-03 PPBS Issues.** Documents related to Personnel & Readiness participation in the Defense Guidance, POM, and budget review. Analyses on PBS issues.

**Disposition:** Destroy after 5 years or on discontinuance, whichever is first, as prescribed for documents maintained in accordance with file series 103-03.

**1806-04 Intergovernmental Affairs.** Documents related to DoD support to other Federal, State and local government entities in the areas of law enforcement, immigration, youth employment, and training.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for papers maintained in accordance with series 103-08.3.

**1806-05 Defense Manpower Requirements.**

1. Documents on the determination of military and civilian and Reserve requirements and force-mix issues.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 103-08.3.

2. Manpower research documents on the establishment and policy directives for Defense Manpower Data Center (DMDC) Manpower Data Analysis Centers. The collection and analysis of data, advice and assistance on manpower of an interservice or interagency nature. Reports by services on improvements affected on manpower management such as positions abolished. Training research and development programs designed to enhance utilization.

**Disposition:** a. Policy matters are permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01. b. Documents on advice and assistance, cut off and retire to the

WNRC when 5 years old; destroy when 25 years old.

3. Inspector General, GAO, and Audit Agency Survey on Manpower Issues; documents related to audits of the use of Defense manpower.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 103-08.3.

**1806-06 Total Force Requirements.**

1. Wartime Manpower Mobilization Planning System (WARMAPS), Installation Mobilization Planners Handbook, Non-Combatant Evacuation Operations (NEO), Continuity of Operations Planning (COOP), Master Mobilization Plan (MMP) and Civilian Mobilization Planning.

2. Mobilization Exercise Files.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for reference-type papers maintained in accordance with series 103-08.3.

3. Memorandum of Agreement (MOA) with Germany for Exchange of Mobilization Planners.

Disposition: Destroy 6 years after supersession, cancellation, or termination, as prescribed for documents maintained in accordance with series 103-04.

**1806-07 Readiness of Military Forces Files** (Pending approval). Documents and data sets dealing with the composition of US military forces; status of personnel, training, and equipment at the unit and aggregate levels; and mobilization/deployment capabilities.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference. Longitudinal data sets (historical files stored in digital format, sequenced in chronological order for trend analyses), maintained at DMDC, will be transferred to the NARA when no longer required for reference.

**1806-08 Individual Training and Performance Files** (Pending approval.) Documents and data sets dealing with individual training systems such as schools, instructors, students throughput, attrition rates, courses, test scores, individual demographics and training histories, and institutional training costs.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference. Longitudinal data sets maintained



at DMDC will be transferred to the NARA when no longer required for reference.

**1806-09 Collective Training and Performance** (Pending approval). Documents and data sets dealing with collective training programs and exercises such as training ranges, missions training objectives, descriptions of the composition of training groups and organizations, descriptions of filed training exercises, lessons learned, measures of effectiveness, of tempo, and collective training costs.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference. Longitudinal data sets maintained at DMDC will be transferred to the NARA when no longer required for reference.

**1806-10 Training Technology** (Pending approval). Documentation and data sets dealing with the research, development, application, and testing of training delivery systems such as computer-based training management, testing, and authoring systems; embedded training; training devices; simulators and simulation techniques; tele-training; and technology transfer.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference. Longitudinal data sets maintained at DMDC will be transferred to the NARA when no longer required for reference.

**1806-11 Actuary Files.** Calculations of present and predictions of future military retirement costs. Actuary figures for the survivor benefit program.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference, as appropriate for documents maintained in accordance with series 103-08.3

**1806-12 Special Events Management.** Documents related to the DoD support to other Federal, State, and local government agencies, or other organizations in the area of international special events.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 702-01.2.

**1806-13 Office of Economic Adjustment Files.** This file contains economic impact minimization files consisting of studies, reports, correspondence, evaluations of economic impact

of proposed or suggested base closures, reduction program, special problem studies, and possible changes in procurement programs.

Disposition: Permanent. Retire to the WNRC when superseded, obsolete, or no longer needed for reference, as prescribed for documents maintained in accordance with series 103-01.

## **1807 Family Policy**

### **1807-01 Family Policy Office Files.**

#### **1. Policy files.**

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

2. Reference publications pertaining to Family Policy Office matters such as Executive Orders, all published orders affecting military families, newsletters, military families, etc.

Disposition: Destroy when superseded, obsolete, or no longer needed for reference purposes, as prescribed for documents maintained in accordance with series 102-01.

3. Program and budget decisions, guidance, committees, travel requirements.

Disposition: Destroy after 5 years or on discontinuance, whichever is first, as authorized for files maintained in accordance with series 103-03.3.

4. Committees and/or councils and/or advisory groups on family issues such as the Family Policy Coordinating Committee or Family Support Conferences.

Disposition: a. Office of the committee chairman or secretariat, whichever is designated office of record: Permanent. Cut off when no longer needed for current operations and retire to the WNRC 5 years after cutoff, or when the committee is abolished. b. Offices of other committee members: Destroy when no longer needed for current operations, as prescribed for committee-type records maintained in accordance with series 103-06. NOTE: For committee-type records not related to the business of the Family Policy Office, see series 201-01 or -11 of this Instruction.

#### **5. Speeches.**

Disposition: Destroy after 5 years on discontinuance,

whichever is first, as prescribed for documents maintained in accordance with series 103-02.5. NOTE: Official copies of speeches are maintained as permanent documents by ASD(PA) under series 701-09.b.

6. Military family issues documents such as adoption, child care, dependent travel, cottage industries, DoDDS, elder care employment, terrorism, volunteerism, and miscellaneous matters.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

7. Military Family Act Legislation contained in the FY 86 DoD Authorization Act.

Disposition: Permanent. Cut off and retire to the WNRC when superseded or obsolete, as prescribed for documents maintained in accordance with series 103-01.

**1900 DEPARTMENT OF DEFENSE DEPENDENTS SCHOOLS.** (NC1-330-87-1 & 88-2) Functional files of the OSD on the Department of Defense Dependents Schools (DoDDS). This does not include the personnel files of educator or administrative personnel assigned to the DoDDS HQS or its schools. Files described herein may be further subdivided by use of a decimal suffix, e.g., 1904-10.1 thru 1904-10.4, etc.

**1901 Reserved** (see 103, Common Mission Files).

**1902 General School Administration Files.**

**1902-01 Student Administration Files (N1-330-87-1).**  
Documents on student administration. File folder headings could include: Scholarship and/or Financial Aid; Graduation Requirements; Field Trips, Placement; etc. See series 1903 for actual individual student folders.

**Disposition:** Cut off at end of school year. Destroy after 1 year, unless needed for further reference, in which case bring forward to current file (1902-01).

**1902-02 Curriculum Files.** Material on general curriculum development to include agendas, documents developed and created in task group meetings, minutes, and recommendations applicable to all curriculum areas. These files will also include general working papers on the particular curriculum for an individual school year. To encourage standardization throughout DoDDS, the outline that follows should be used for curriculum materials: Arts and Humanities; Career and/or Vocational Education; Compensatory Education; Computer Education; Early Childhood Education; Preschool; Kindergarten; Foreign Language and/or Intercultural Education; Health; Drug and/or Alcohol Abuse; Nurse's Meetings; Health Reports; Immunizations; Language Arts and/or English as a Second Language; Mathematics; Media Center (Audiovisual); Music; Physical Education; Pupil Personnel Services; Home and/or Hospital Instruction; Reading and/or Reading Improvement Specialist; Science; Social Studies.

**Disposition:** a. Cut off task group working materials at end of school year and hold 1 year, then destroy. b. Summaries of minutes keep until next task group meets, then destroy. c. Curriculum review materials: Destroy 1 year after publication. d. All other materials: Destroy when no longer needed for reference.

**1902-03 Special Education Files.** General non-policy material including reports, correspondence on the planning and development of special education. This includes speech, learning

disabilities, etc. The following subdivisions are authorized: Special Education Monitoring; Special Education Census; Case Study Committee; Talent and Gifted; Related Services.

Disposition: Destroy individual documents when superseded or obsolete. Destroy entire file on discontinuance of organizational element to which it pertains.

1. Mediation and Hearing Results Files. Material on special education mediations and hearings other than that contained in the individual student record.

Disposition: Cut off after final decision. a. OSD: Retire to the WNRC after 5 years. Destroy when 20 years old. b. All other offices: Hold 3 years and destroy when no longer needed for further reference.

**1902-04 Seven-Year Curriculum Development Plan Files.** Material on the planning and subsequent issuance of the Seven-Year Curriculum Development Plan.

Disposition: Cut off at end of year; destroy after 1 year or when no longer needed for reference, whichever is sooner.

**1902-05 Course Offering File.** Material on the individual school's course offerings. Includes schedules and lists of courses.

Disposition: Cut off at end of year, destroy after 1 year, or when no longer needed for reference, whichever is sooner.

**1902-06 Independent Study Course Files.** Material on proposals for or actual independent study courses. Materials on individual students will be filed in the student folder.

Disposition: Cut off at end of school year, destroy after 1 year or when no longer needed for reference, whichever is sooner.

**1902-07 Testing Files.**

1. For all DoDDS office files, material on test administration procedures, region and schoolwide, as well as test results with summary analysis for general and specially administered tests are filed here. The school offices may file correspondence, documents and/or materials on semester exam schedules here.

Disposition: Cut off at end of school year. Hold in CFA 6 additional years. Earlier destruction is authorized.

2. Annual Testing Program. Documents for the

proceedings leading up to the test administration, monitor, and test results including individual reports for the system, region, and/or school.

Disposition: Cut off at end of school year. Destroy when 6 years old or when no longer needed for reference, whichever is later.

**1902-08 Reserved.**

**1902-09 School-Wide Action Plan Files.** All material on the School-Wide Action Plan, to include documents on the school improvement plan.

Disposition: Cut off at end of school year. a. Schools: maintain 5 years then destroy. b. Other offices: destroy after 1 year.

**1902-10 Reserved.**

**1902-11 Inservice Files.** Includes training and staff evaluation material. Information on inservice programs conducted by the school region, or other outside sources.

Disposition: Destroy when 5 years old or 5 years after completion of specified program, whichever is sooner.

**1902-12 Special Program Files.** Nonpolicy Material, in a general sense, on special programs related to education such as the Very Special Arts Festival, Teacher-in-Space, Artist in Residence programs.

Disposition: Cut off at end of year, destroy after 1 year or when no longer needed for reference, whichever is later.

**1902-13 Research Program Files.** Material on the planning and development of research programs; i.e., research and innovation projects, individual project proposals, etc.

Disposition: a. Approved projects: Destroy 2 years after completion, or when no longer needed, whichever is first. b. All others: Cut off at end of year, destroy after 1 year or when no longer needed for reference, whichever is later.

**1902-14 Summer School Files.** Material on the planning and implementation of a summer school program.

Disposition: Cut off at end of year, destroy after 1 year or when no longer needed for reference, whichever is later.

## **1903 Elementary School Files.**

### **1903-01 Elementary School Student Record Files**

(N1-330-88-1). Documents on enrollment and registration (record copy of DSF 100 and documentation enrollment category), standardized achievement tests, grades, report cards, attendance and reading records, teachers' comments, parental correspondence, other notes, or related information. No personal information that might result in embarrassment, inconvenience, or unfairness should be kept in these records. All records on special education must be maintained in 1903-03.

**Disposition:** Destroy 3 years after transfer, withdrawal, or death (TWD) of student. Files may be purged of all information except report cards or other records which document academic promotion or retention data. When student transfers to another school, a copy of the record may be released to parent and/or student for handcarrying. If transferred outside DoDDS, an official copy will be provided on receipt of an authorized request.

**1903-02 Health Record Files.** Includes Student Health Records (DSF 120), immunization records (DSF 122), parental permission forms, screening results, sports physicals, physician referrals, medication instructions consent forms, copies of accident reports.

**Disposition:** Place in student record file (1903-01) upon TWD of student.

**1903-03 Elementary School Special Education Files (N1-330-89-1).** Documents pertaining to special education, to include preferrals and referral forms and documentation, test protocols, Individual Education Plans, Case Study Committee reports and plans and evaluation reports and summaries of correspondence with parents (including invitations to meetings and permission for assessments), file access records, cross-reference location information and, when appropriate, samples of student's work.

**Disposition:** Cut off on TWD of student. Retain in CFA 5 years, then destroy.

**1903-04 Ancillary Service Files.** Documents on supplemental services (Talented and Gifted (TAG), English as a Second Language (ESL), Compensatory Ed, Reading Improvement Specialist (RIS), etc.) to include consultation and referrals, test protocols, case study committee process forms, progress and evaluation reports and summaries, teachers' notes, general correspondence, and samples of student's work.

**Disposition:** Place in student record file (1903-01) upon

TWD of student.

**1903-05 Registration Card Files.** Copies of Sponsor and/or Pupil Registration Cards (DSF 100) reflecting enrollment verification, sponsoring agency, and emergency locator information. Record copy is kept in the student record file with appropriate documentation of enrollment category (original copy preferred by not mandatory).

**Disposition:** Destroy when superseded.

**1903-06 Teacher Class Register Files.** Grade books reflecting daily, weekly, semester, or annual scholastic marks and averages, attendance, and withdrawal information.

**Disposition:** Cut off at end of school year. Destroy after 1 year.

**1903-07 Master Student List Files.** A listing of all students, by grade, enrolled in grades K-8, by school year. The list will annotate when the student entered or withdrew if either action occurs during the school year. If student attends for entire year, name is sufficient.

**Disposition:** Cut off at end of school year. Hold in CFA. Destroy after 25 years.

**1904 Secondary School Files.**

**1904-01 Secondary School Student Record Files.** Documents including enrollment and registration forms, DS Form 200 (reflecting grades and credits, standardized achievement tests, attendance), discipline actions, health information, copies of report cards, letters of recommendation and correspondence with parents and/or similar and related information. No personal information that might result in unfairness will be maintained in these records. All records on special education will be maintained in 1904-06.

**Disposition:** a. DSF 200 -- Cut off on graduation, transfer, withdrawal, or death (GTWD) of student. Transfer DSF 200 to regional office after 4 years. Retire to FRC after 1 year. Destroy when 50 years old. b. All other records -- Cut off on GTWD of student. Destroy after 5 years. When student transfers to another school, a copy of the record may be released to the parent/student for handcarrying. If the student transfers to a school outside the DoDDS, an official copy will be provided upon receipt of an authorized request.



**1904-02 Transcript Files.** This file consists solely of the student's permanent record (transcript), DSF 200. This is an optional file; the transcript may be maintained in the student record file (1904-01).

**Disposition:** Maintain DSF 200 IAW 1904-01.

**1904-03 Transcript Request Files.** Request forms and correspondence authorizing release of academic records and actions taken.

**Disposition:** Cut off at end of school year. Destroy after 2 years.

**1904-04 Registration Card Files.** Sponsor and/or Pupil Registration Cards (DSF 100) reflecting enrollment verification, sponsoring agency, and emergency locator information.

**Disposition:** Transfer current card to student record file upon GTWD of student. A copy of current card should be maintained in the student folder to authorized release of records. Destroy when superseded.

**1904-05 Health Record Files.** Documents including health record (DSF 120), immunization certificate (DSF 122), TB/first aid parental permission forms, screening results, sports physicals, physician referrals, medication instructions, consent forms, and copies of accident reports.

**Disposition:** Cut off at end of school year. Transfer to student record file upon GTWD of student. Copies may be released to student and/or parent for handcarrying to next school with an official copy provided upon authorized request.

**1904-06 Secondary School Special Education Files (N1-330-89-1).** Documents pertaining to special education programs to include prereferral and referral forms and documentation, test protocols, Individual Education Progress (IEPs), Case Study Committee (CSC) reports and minutes, assessment plans and evaluation reports and summaries, correspondence with parents (including invitations to meetings and permission for assessments), file access records, cross-reference locator information and when appropriate, samples of the student's work.

**Disposition:** Cut off upon GTWD of student. Hold in CFA 5 years, then destroy.

**1904-07 Ancillary Service Files.** Documents on supplemental student services (Talented and Gifted (TAG)), English as a Second Language (ESL)), to include consultation and referrals, test protocols, CSC process forms, progress and evaluation reports and summaries, teachers' notes and general correspondence, and

samples of student's work.

Disposition: Transfer to student record folder upon GTWD of student.

**1904-08 Report Card Files.** Consolidated office files containing copies of report cards that reflect scholastic grades, promotion, of retention.

Disposition: One copy will be maintained in the individual student record; all others released to student upon withdrawal of transfer or destroyed at end of school year, whichever is appropriate.

**1904-09 Attendance and Discipline Files.** Documents reflecting attendance and disciplinary actions, to include teacher referrals, tardy and/or admission slips, correspondence to and from parents, and similar related information.

Disposition: Cut off at end of school year. Upon GTWD of student, transfer to student record (1904-01).

**1904-10 Teacher Class Register Files.** Grade books reflecting daily, weekly, semester, or annual scholastic marks and averages, attendance, withdrawal information.

Disposition: Cut off at end of school year. Destroy after 5 years.

#### **1905 Panama Student Records**

**1905-01 Student Record Files (Panama Only).** Documents on individual students, to include admission and registration forms, test scores, grades and credits earned, attendance, drop or add class records, correspondence, and similar or related information.

Disposition: Cut off on GTWD of student. Retire to FRC after 5 years. Destroy when 50 years old.

**1905-02 College Admission and Registration Files (Panama Only).** Documents used to register students, including name, address, sponsor information, tuition payments, etc.

Disposition: Alphabetical file maintained until verification of agency sponsorship by regional office. Registration forms are then transferred to student record files (1905-01).

**1905-03 Class Schedule Files.** Information and reference cards reflecting class schedules, locations, courses, and instructors.

**Disposition:** Cut off at end of each semester and transfer to student record file (1905-01).

**1905-04 Instructor Class Register Files.** Grade books reflecting daily weekly, or semester grades and averages, attendance, and withdrawal information.

**Disposition:** Cut off at end of school year. Destroy when 5 years old.

**1906 General Supply Accounting.** These files pertain to policy and support necessary for the effective and efficient operation of the general supply accounting activities of DoDDs (N1-330-87-1).

**1906-01 Hand Receipt Account Serial Number Files Register (DODACC).** Registers recording school and activity record account serial numbers and indicating each designation and activity to which assigned.

**Disposition:** Destroy after 5 years.

**1906-02 Hand Receipt Account Serial Number Files List (DODACC).** Lists issued periodically that reflect current account serial numbers assigned within the regional geographical area.

**Disposition:** Destroy when superseded.

**1906-03 Stock Record Account Authorization Control Files.** Background material consisting of documents on requests for authorization and assignment of, or cancellation of stock record account serial numbers and information concerning audit status accountability and transfers of accountability.

**Disposition:** Destroy 2 years after termination of account.

**1906-04 Authorized Supply Code Files.** Document on the assignment of authorized organization supply codes to each school, organization or activity authorized to maintain property on an organization property records. Included are registers and related papers.

1. Registers.

**Disposition:** Destroy 1 year after cancellation of all supply codes listed on the sheet or in the bound register.

2. Other Files.

Disposition: Destroy after 2 years.

**1906-05 Property Officer and/or Custodian Designation Files.** Documents reflecting the designation of property officers. Included are letters of appointment and revocation.

Disposition: Destroy 2 years after termination of appointment.

**1906-06 Stock Level Control Files.** Documents on the establishment and amending of stock levels at regional warehouse.

Disposition: Destroy after 1 Year.

**1906-07 Supply or Equipment Authorization Files.** Documents on requests for authorizations for allowances or authority to exceed or change existing authorizations.

Disposition: Destroy when incorporated in a numbered publication or on recession, whichever is sooner.

**1906-08 Stock Record Account Files.** Accounts of regional warehouse operations constituting organizational or activity property accounts, custodial records and other documentation of accountable supply distribution activity. Regional stock account files are the basic records showing by item the receipt, disposal and quantities of supplies on hand. These accounts are kept by an accountable officer.

Disposition: Destroy after 2 years. All documents covered by subsequent consolidations, remove and bring forward to current year.

**1906-09 Hand Receipt Jacket.** Document that may be accumulated by the accountable officer that reflect regional property held on memorandum receipts, consisting of property issue slips, turn-in slips, individual and consolidated memorandum receipts, and related papers.

Disposition: Individual school of activity hand receipts and related papers: Destroy on inclusion in a consolidated hand receipt or on turn-in of the property issued or other satisfactory accounting of responsibility.

**1906-10 Property Book and Supporting Document.** Documents reflecting the description, receipt, and turn-in of property for which the property book officer is accountable. Included are property books, receipts, turn-in slips, reports of survey,

inventory adjustment reports, and other documents supporting entries to the property book.

Disposition: Destroy after 2 years. Open document numbers in the supporting document file, transfer to the current fiscal and/or calendar year document file.

1906-11 Document Register Files. Registers listing the document number and type of supply action taken on documents that support entries to the property book. Included are non-expendable and expendable and/or durable registers for supply actions, and similar forms.

Disposition: Destroy after 2 years. Open document number, extract into current fiscal and/or calendar year document register (first entries of new register) in original document sequence.

1906-12 Officer Nonaccountable Property Files. Documents on the receipt and issue of property that is not recorded on an accountable stock record account of the region or on a memorandum receipt account of the region such as stock cards, property issue and turn-in slips, copies of s, and shipping documents.

Disposition: Destroy after 2 years or on turn-in of equipment, or after other proper settlement of responsibility, or consolidation, whichever is applicable.

1906-13 Property Records Inspection & Inventory Reporting Files. Information relating to inspections and inventories (including annual, change of PBO, cyclic) of property records. Included are reports, replies, and related information.

Disposition: a. Offices conducting inspection: Destroy after 3 years. b. Offices inspected: Destroy after 1 year.

1906-14 Property Accountability Transfer. Documents attesting to the transfer of property accountability from one accountable officer to another. Included are certificates of transfer, inventory lists, and related documents.

Disposition: Destroy after 2 years.

1906-15 Equipment Record Card. Documents maintained to provide a perpetual inventory of selected major or end items of equipment and for the purpose of retaining timely data for required equipment reports.

Disposition: Destroy 2 years after equipment is removed from agency control.

1906-16 Equipment Loan Files. Document reflecting loan of

equipment, or material to or from other Government Agencies. Included are requests, approvals, reports, agreements, and related documents. This description does not include documents required to be filed in property accounts.

Disposition: Destroy 2 years after turn-in or other satisfactory accounting.

**1906-17 Reports of Survey Files.** Reports that describe the circumstances and recommended actions concerning the loss, damage, or destruction of Government property. Included are reports of survey and supporting documents.

Disposition: a. Reports fixing pecuniary liability: Destroy 5 years after final action. Others: Destroy after 3 years.

**1906-18 Report of Survey Control Register.** Registers and related documents maintained to control reports of survey.

Disposition: Destroy after 5 years.

**1906-19 Inventory Adjustment Reporting Files.** Approving authority copies of reports used to adjust inventory discrepancies disclosed as a result of physical inventories. Included are inventory adjustment reports, inventory count cards, copies of reports of survey, and related documents.

Disposition: Destroy after 2 years.

**1906-20 Relief From Responsibility (Liability Admitted) Files.** Retained unit copies of statements of charges of cash collection vouchers on property that has been lost, damaged, or destroyed, and for which liability is admitted by the responsible individual.

Disposition: a. DD Form 1131: Destroy 3 months after completion. b. DD Form 362: Destroy 3 months after verification that all amounts have been collected.

**1906-21 Fund Accountability Files.** Records having direct relation to the fund accountability, including, but not limited to: Statement of Agent Officer's Account (DD Form 1081), Reimbursement Vouchers (SF 1129), unannounced inspection and verification reports, quarterly reviews for needs of funds, and informal registers.

Disposition: Cut off at end of fiscal year. Destroy after 2 years.

**1906-22 Imprest Fund Transaction Files.** Individual purchase request (DS Form 3953, DS Form 2496, DS Form 3161), SF 1165, and any other papers which may occur to support the appropriate transaction (e.g., vendor's invoice, Memo for Record).

**Disposition:** Destroy 1 year after expiration of fiscal year in which the transactions were executed.

**1906-23 Bulk Fund Purchase Request Files.** Individual bulk fund purchase requests.

**Disposition:** Destroy 1 year after expiration of fiscal year transactions executed.

**1907 Supply Control and Quantitative Material Requirements Files**  
**(N1 330-87-1)**

**1907-01 Investment Item Forecasting Files.** Documents created in forecasting and computing the requirements for individual investment and selected items of material. Planning documents that provide guidance in computing the requirements for the item, and related papers.

**Disposition:** Destroy 3 years after supersession or 1 year after obsolescence, discontinuance, or removal, whichever is sooner.

**1907-02 Material Allowance Files.** Documents reflecting allowances of material required by and authorized for schools to accomplish both administrative and educational missions. They are used in computing quantitative requirements for material and documents such as operational projects, communications pertaining to the authorization documents, and copies of other plans that provide a basis for computing quantitative requirements.

**Disposition:** Destroy 3 years after supersession or obsolescence of the basic documents.

**1908 Self-Service Supply Center Files (N1-330-87-1).**

**1908-01 Account Authorization Files and Ledger.** Documents on the establishment of monetary credit authorization for school and activity supplicants drawing supplies from a self-service supply center.

**Disposition:** Destroy 1 year after posting authorization to customers ledger and ledger card.

**1908-02 Authorized Supply Representative Card Files.** Card identifying individuals as authorized supply representatives, correspondence relating to issuance of monetary credits, and correspondence relating to the account.

Disposition: a. Obsolete Cards: Destroy after posting entries to the register. b. Remaining Files: Destroy after 2 years.

**1909-01 Supply Item Identification Files (N1-330-87-1).** Documents on proposed original item identification or proposed changes, revisions, transfers, and cancellations of basic names, definitions, descriptions, references, and illustrations for inclusion in supply catalogs. Included are requests for nomenclature and Federal stock numbers, name and description transmittal forms, reference drawing or illustration sketches, coordination or collaborating actions, and similar documents pertaining to the proposed item identification.

Disposition: Destroy 4 years after completion of action.

**1910 Stock Control and Requisition Files (N1-330-87-1).**

**1910-01 Due-In Document Files.** Documents reflecting quantity and type of material due-in which are used as a record of due-in shipments, as a notification of shipment or for purposes of warehouse space utilization planning. Included are copies of requisitions, s, shipping and delivery orders, and similar documents, but excluding such documents when filed with vouchers to the stock record account.

Disposition: Destroy 6 months after receipt of shipment, or when files have served their purpose, whichever is sooner.

**1910-02 Due-In Document Register Files.** Registers recording due-in shipments or notices of shipment.

Disposition: Destroy 1 year after date of last fiscal year entry.

**1910-03 Car Arrival Reporting Files.** Documents used to initiate diversions of shipments or immediate reshipment such as car arrival reports.

Disposition: Destroy 3 months after diversion of reshipment.

**1910-04 Requisition Suspense and Status Files.** Documents maintained by the requisitioner that reflect the supply status of requisitions. Included are copies of requisitions, supply status cards, follow-up data, and reconciliation of open requisitions.

Disposition: Destroy 1 year after completion of action, on cancellation of requisition or move to completed document file.



**1910-05 Issue History Files.** Documents reflecting the record of each material request release order and all supply actions taken on the request. These documents may be in the form of hard copy, punched card, or tape.

Disposition: Destroy after 2 years.

**1910-06 Requisition Register Files.** Registers maintained to record requisitions submitted for supplies to be furnished by procurement activities.

Disposition: Destroy after 1 year.

**1910-07 Requisition Reference Files.** Extra copies of requisitions that are maintained by the activity responsible for initiating them.

Disposition: Destroy when no longer needed but no later than 6 months after disapproval of requisition or completion of supply action.

**1910-08 Packaging and Handling Deficiency Reporting Files.** Reports submitted by receiving activities on deficiencies in the preservation, packaging, marking, or handling of supplies, equipment, or materials. Included are reports of packaging and handling deficiencies, reports and corrective action and related papers.

Disposition: Destroy after 1 year.

**1910-09 Regional Station Supply Reporting Files.** Reports concerning the status of supply, excess stock, and the redistribution of stock, including station stock status report, and report on the status of equipment.

Disposition: Destroy after 2 years.

**1910-10 Stock Inventory and Reconciliation Files.** Stock balance sheets or comparable work papers used for the purposes of inventory, reconciliation, or adjustment of stock balances.

Disposition: Destroy after 2 years.

**1910-11 Warehouse Stock Availability Reporting Files.** Reports prepared periodically listing stock availability balances, which are used primarily for ascertaining availability of supplies to satisfy quantities called for on requisitioning documents and for effecting release of quantities previously due out.

Disposition: Destroy after 3 months, or on completion of next report whichever is sooner.

**1910-12 Warehouse Stock Status and Transaction Analysis Reporting Files.** Reports reflecting current balances on a warehouse's stock records or summarizing individual transactions. Included are depot stock individual transactions. Included are depot stock status reports and depot transaction analysis reports.

**Disposition:** Destroy after stocks depleted.

**1910-13 Model (Service) Stock Files.** Documents Maintained as a record of predetermined quantities of specified items reserved for issue to individuals or activities. Included are model stock lists and revisions thereof, property issue slips, and property turn-in slips.

**Disposition:** Destroy after stocks depleted.

**1910-14 Equipment Table Files.** Tables or lists that govern the issue of equipment and supplies to schools and organizations. Included are tables of organization, tables of equipment, and tables of allowances.

**Disposition:** Destroy on supersession or obsolescence.

**1910-15 Material Handling Equipment Use Files.** Documents containing data for use in establishing utilization requirements for materials handling equipment. Included are daily records of materials handling equipment operations, copies of materials handling equipment utilization reports and similar documents.

**Disposition:** Destroy after 2 years.

**1910-16 Customer Supply Assistance Reporting Files.** Reports of visits made by regional supply assistance personnel relative to supply assistance provided schools and activities.

**Disposition:** Destroy after 2 years.

**1910-17 BOSS Supply Operation Reporting Files.** Reports and related documents on supply operations and accumulated by CSA and regional staff offices.

**Disposition:** Destroy after 2 years.

**1910-18 Equipment Management Survey Files.** Documents accumulated as a result of conducting on-site review of equipment use and needed for reconciling property accountability records and authorization documents. Included are copies of survey

reports, letters of authorization for turn-in and requisitioning of equipment, computer printouts of adjustments and excesses, key punch worksheets, and similar or related documents.

Disposition: Destroy after next survey.

**1911 Maintenance Files (N1-330-87-1)**

**1911-01 Maintenance Summary and Managements Files.**

Documents on the summarization of data to the general management of maintenance operations and functions. Copies of various operationally prepared funds (control copies) containing detailed data of value in managing such aspects of maintenance as forecasting workloads, scheduling work for orderly flow, worktime standards and routing of work, parts supply, cost control, quality control, operation improvement are reviewed, analyzed, and summarized.

Disposition: a. Consolidated reports and summarizations: Destroy when no longer needed. b. Feeder Reports: Destroy on extraction of necessary data.

**1911-02 Maintenance Request Files.** Documents used to request maintenance services to report accomplishment of modification work orders to record maintenance performed.

Disposition: Destroy on return or issue of related equipment.

**1911-03 Maintenance Request Register Files.** Documents used to record and control maintenance work; usually in the form of registers.

Disposition: Destroy 6 months after last entry.

**1911-04 Exchange Tag Files.** Documents (normally tags) used as receipts for replacement of parts or components.

Disposition: Destroy on return of issue of related equipment.

**1911-05 Shop Property Account Files.** Documents accumulating in tool rooms, parts rooms, and exchange points making maintenance items more accessible to maintenance personnel. Included are stock record cards, property issue, and turn-in slips and similar documents.

Disposition: Destroy after 2 years.

**1911-06 Shop Locator Record Files.** Location sheets, cards, tags, and other documents constituting a part of a location, inventory, or identification system for equipment sent to shops,

or utilized as a check or inventory for such equipment.

Disposition: Reusable forms should be used until filled.

**1911-07 Preventive Maintenance (PM) Schedule Files.**

Documents used for scheduling periodic PM services tests and calibration of equipment. Transfer with related equipment.

Disposition: Destroy after transfer of information to other records or on disposition of equipment, whichever is sooner.

**1911-08 Equipment Inspection & Maintenance Worksheet Files.**

Documents reflecting the performance of PM inspections, services, diagnostic checkouts, and spot check inspection of equipment.

Disposition: Destroy when posted to logbook; entered on a new form; or completion of next check or test. If needed for inspection data purposes, destroy when no longer required.

**1912 Storage Files (N1-330-87-1)**

**1912-01 Warehouse Planning & Layout Files.** Warehouse, shed, or open storage space planning and layout diagrams, or comparable papers on space planning and layout.

Disposition: Destroy on supersession or obsolescence.

**1912-02 Locator Record Files.** Documents constituting a part of a location system for supplies and equipment, or used as a check or inventory of stock location. Included are space control sheets, location sheets, location cards, bin tags, and comparable documents.

Disposition: Destroy when superseded or obsolete.

**1912-03 Warehouse Receiving Files.** Car or container arrival reports, shipping documents, tallies, or comparable documents retained for the purpose of car spotting, the assignment of labor and equipment, unloading of supplies, and other purposes connected with the receipt of supplies at depot warehouses.

Disposition: Destroy 3 months after receipt of shipment or when no longer needed, whichever is sooner.

**1912-04 Warehouse Shipping Files.** Shipping documents, tallies, reports of outbound freight, work assignment sheets used for stock piling, copies of stock or packing tags, or comparable documents retained by the warehouse after shipment and used for the purpose of picking and loading stock for shipment.

Disposition: Destroy 3 months after shipment or when no longer needed, whichever is sooner.

**1912-05 Labor Pool and Equipment Operating Files.** Documents on assignment and utilization of labor and equipment for warehousing activities. Included are work assignment sheets, working reports of the operation of materials handling equipment, daily work reports showing date, shift, cars or trucks loaded or unloaded and comparable documents.

Disposition: Destroy after 6 months.

**1912-06 Storage Reporting Files.** Reports on overall storage operations, made to higher headquarters such as depot space & operating monthly materials handling, and similar reports.

Disposition: Destroy after 2 years.

**1912-07 Supply Item Reference Files.** Standard nomenclature lists, interchangeable stock numbers, lists or cards, standard stock catalogs, and similar shipment and fund cited.

Disposition: Destroy when superseded or obsolete.

**1912-08 Transportation Fund Cite and Control Files.** Documents constituting a system of control of the identification of separate shipments and fund cited.

Disposition: Destroy 6 months after date of last shipment.

**1912-09 Packing, Boxing and Crating Files.** Documents on assembling, protecting, packing, blocking, boxing, and crating articles for shipment. Included are manuals, specifications, lists, bulletins, instructions, and similar documents.

Disposition: Destroy after 3 months.

**1912-10 Box and Crate Work Order Files.** Box and crate shop work orders and supporting papers initiating all work performed by this activity and reflecting the status of work in process, in terms of materials and man-hours consumed and work accomplished.

Disposition: Destroy after 3 months.

**1912-11 Storage Register Files.** Voucher assignment registers, shipping control registers, tally number registers, and comparable devices maintained for storage control purposes.

Disposition: Destroy after 1 year.

**1913-01 Transportation Files (N1-330-87-1).** Copies of

transportation contracts, transportation budget and funding, summaries of reimbursable costs, field trips, internal control, driver education, etc.

Disposition: Cut off annually. Destroy after 2 years.

**1914-01 Defense Retail Interservice Support Program (DRIS) Files (N1-330-87-1).** Documents on agreements between DoDDS and military services or other Federal agencies.

Disposition: Destroy 1 year after close of the last calendar year covered by the agreements.

**1915 Facilities Files (N1-330-87-1).** Documents on the acquisition of real estate by purchase leases, transfers, and space assignments.

Disposition: Destroy 6 years after approval of the completed real estate audit and disbursement is consummated.

**1915-01 Facilities Administrative Files.** Documents on the overall administration of facilities activities to include but not limited to program and budget documents.

Disposition: Destroy after 2 years.

**1915-02 Facility Specification Files.** Documents specifying educational specifications for major construction projects to include sketches.

Disposition: Destroy when no longer needed.

**1915-03 Facilities Construction Files.** Contains non-policy procedures and standards documents on facilities.

Disposition: Destroy when no longer needed for reference.

**1915-04 Space Management Files.** Records on the allocation, utilization, and release of space under DoDDS control and related reports to other agencies.

1. Building plans and related records on space utilization, planning assignment, or adjustment.

Disposition: Destroy 2 years after termination of assignment when the lease is cancelled or when plans are superseded or obsolete.

2. Space plan file and related material used in space

planning, assignment, and adjustment.

Disposition: Destroy 2 years after cut off.

3. Correspondence files relating to space and maintenance matters of an administrative or operating nature.

Disposition: Destroy 3 years after cut off.

**1916 Safety and Security Files (N1-330-87-1).** Records on the safety and physical security of personnel, students, and material for which DoDDS is responsible.

Disposition: Destroy when 2 years old.

**2000 Director of Operational Test and Evaluation. (NC1-330-92-2)**

These files are accumulated by DOT&E as the principal adviser to the Secretary of Defense and the Under Secretary of Defense for Acquisition on operational test and evaluation in the DoD, and the principal operational test and evaluation official within the senior management of the DoD. They document the Director's role in prescribing operational test and evaluation procedures; providing guidance and consultation with respect to specific testing; monitoring and reviewing operational testing and evaluation in the DoD; coordinating testing conducted jointly by more than one military department of Defense Agency; and reviewing and making recommendations on all budgetary and financial matters on operational testing and evaluation.

**2001 Records of the Office of the Scientific Advisor.** These files are accumulated in the course of providing scientific advice, technical guidance, review, and consultation to the Director on all operational test and evaluation matters relating to major DoD programs.

**Disposition:** Destroy when superseded, obsolete, or no longer needed for reference purposes.

**2002 OT&E Resource Files.** These files accumulate in the Resources and Administration Directorate in the course of tracking the long- and short-range planning and integration of OT&E programs. They are used to track program budgets, the Resource Enhancement Program (a subset of the Centralized Test & Evaluation Improvement Program), and the procurement of test resources (targets, ranges, and threat models acquired from foreign or domestic sources). They may also contain documents on military construction spending and real estate acquisition (to include attendant environmental issues such as noise abatement, forestry, wildlife, and encroachment). These files cover the development of test programs through the short-term (three years prior to major testing of a program) to the time they are removed from DOT&E oversight. While these files may duplicate some of the material included in the Program Files, they are maintained separately from them.

**2002-01 Resource Reference Files.** These files consist of reports such as Institute for Defense Analysis (IDA), budget tracking, congressional, GAO, and IG; other documentation of test resource materials such as copies of the Test and Evaluation Master Plans (TEMPS) and electronic warfare test resource planning and investment strategy materials.

**Disposition:** Cut off upon removal of the program from the DOT&E oversight; retire to the WNRC after 2 years; destroy after



15 years.

**2002-02 GAO History Files.** These are copies of GAO reports and other correspondence used to track the processing of the GAO activities in connection with the DOT&E program which provide a central, discrete file on this subject.

**Disposition:** a. Action copies. Cut off and retire to the WNRC when no longer needed for oversight purposes; destroy after 15 years. b. Information copies. Destroy when no longer needed for reference purposes.

**2003 Program Files.** These are action officers' files accumulated in the Conventional, Strategic, and C3I Systems directorates that pertain to system requirements and program objectives, threat assessments, testing program resources, and the program decision process. Included are such documents as analyses, assessments, periodic and one-time reports, general correspondence, GAO and IG audit material, news reports, and other documentation on testing and development programs which individual action officers deem appropriate for inclusion in a program-specific file.

**2003-01 Plans and Assessments File.** These files consist of Test and Evaluation Master Plans (TEMP), including approval and disapproval correspondence; DOT&E Plans consisting of approval and/or disapproval correspondence and test concept briefings; OT&E reports, including interim reports, Quicklooks and status reports; development testing and evaluation (DOT&E) plans and reports (accumulated only as required); DOT&E assessments submitted to House and Senate committees, the Secretary of Defense, Under Secretary of Defense (Acquisition), and the Military Services consisting of Beyond Low-rate Initial Production (B-LRIP) reports and annual reports which synopsise current programs; and operational test data utilized in support of DOT&E assessments.

**Disposition:** Permanent. Cut off upon completion of testing and retire to the WNRC; transfer to the National Archives after 15 years.

**2003-02 Requirements Documentation Files.** These files may include mission area analyses (MAA) of generic requirements tied to a specific weapons system; mission need statements (MN) or element need statements (MENS) that further define the MAA and establish operational requirements; stand-alone operational requirement documents that further the define the MENS and include operational requirements (OR), system operational requirements documents (SORD), joint system operational requirements (JSOR), tentative operational requirements (TOR), and operational and/or maintenance concept documents; cost and/or operational effectiveness analyses that support milestone

acquisition points; system concept papers; program baseline documents; and DCP or Service equivalent documents.

Threat documentation that consists of service-generated and DIA-approved system threat assessment reports (STAR) and threat scenarios.

Test program resource documents that include test program outlines and documentation on resource issues.

Program Decision Documentation consisting of committee (conventional, strategic, and C3I) and the Defense Acquisition Board (DAB) books and copies of the acquisition decision memos (ADM).

Trip reports, meeting minutes, and internal correspondence files.

GAO/IG audit material and related correspondence. News reports, magazine articles, and other open-source published materials accumulated at the discretion of individual action officers that pertain to on-going programs.

IDA documentation consisting of task orders, technical reports, and budget and/or cost reports.

Disposition: Cut off upon removal of program from DOT&E oversight; retire to the WNRC after 2 years; destroy after 15 years.

2100 Special Operations and Low-Intensity Conflict  
(Awaiting NARA Approval)

**2200 Coordinator for Drug Enforcement Policy and Support.** (NC1-330-92-10) These files document the role of the Coordinator as the principal staff assistant and advisor to the Secretary of Defense for drug control policy, requirements, priorities, systems, resources, and programs. This includes developing policies, conducting analysis, providing advice, making recommendations, and issuing guidance on DoD drug control plans and programs; developing systems and standards for the administration and management of these plans and programs; promulgating plans, programs, actions, and taskings pertaining to the DoD drug control program; reviewing, evaluating, coordinating, and monitoring drug control plans and programs to ensure adherence to approved policies and standards; promoting coordination, cooperation, and mutual understanding within the Department of Defense, Congress, and between the DoD and other Federal Agencies, State and local governments, and the civilian community. The Coordinator also serves on boards, committees, and other groups pertaining to drug control matters; is the point of contact for the Office of the Director of National Drug Control Policy and other Federal and State agencies; participates in and oversees and monitors planning, programming, and budgeting for the DoD counterdrug mission; coordinates and monitors DoD support of civilian counterdrug law enforcement; coordinates and monitors DoD support for the detection and monitoring of maritime and aerial transit of illegal drugs into the U.S.; coordinates and monitors National Guard support to State drug-law enforcement operations, and intelligence and communications support.

**2200-01 Plans and Support Directorate (P&S).** These files include documents on actions on loans, leases, and transfers of equipment from the Department of Defense to Federal, State, and local law-enforcement agencies; deployment of DoD personnel outside the Continental U. S.; support (logistical, personnel, training) to civilian (Federal, State & local) law-enforcement agencies by the DoD to include that mandated by Congress for counterdrug programs; and National Guard activities, including the State Governors' Counterdrug Support Plan program.

1. Topical Project Files. These files consist of letters, memos, reports and other correspondence documenting P&S's oversight of its logistical, procurement, training and other support responsibilities; Reserve Component counterdrug support coordination activities; and operations pertaining to projects along the U. S.-Mexico border and country and/or CINC-specific counterdrug activities and deployment of U.S. personnel.

**Disposition:** a. Policy matters: Permanent. Retire to the WNRC when superseded or obsolete, as prescribed for papers filed in accordance with series 103-01. b. All other: Destroy when

superseded, obsolete, or no longer needed for reference, as prescribed for papers filed in accordance with series 103-08.3.

2. Counterdrug support plans. Copies of National Guard plans submitted by the States and Territories for DoD approval of Federal funding.

Disposition: a. Executive summaries: Permanent. Cut off when superseded, hold in the current files area for two years, and retire to the WNRC. b. All other: Cut off when superseded; destroy when no longer needed for reference purposes.

3. Regional Logistical Support Office (RLSO) Support Files. These files consist of documents accumulated by P&S in exercising its administrative and logistical support role on behalf of the RLSOs. Included are documents on personnel matters pertaining to the individuals assigned to these offices (similar to but not to be confused with 202-07 Office Personnel Information Files), travel, transportation, budget, duplicate copies of memorandums of understanding and other agreements, and miscellaneous correspondence, reports, and other papers not described elsewhere in this section.

Disposition: Destroy when superseded, obsolete, or no longer needed to perform the function for which accumulated.

4. Detail Program Files. These files pertain to P&S's oversight of the program that details active-duty military personnel to work with Federal drug law-enforcement agencies (FBI, DEA, INS, U. S. Customs, etc.) in areas where their unique military skills (intelligence analysis, computer expertise, etc.) contribute significantly to those agencies' counterdrug programs. Also included are actions detailing military personnel as liaison officers. These files consist of letters and memorandums coordinating agency requests for augmentation with the Military Services and Personnel and Readiness, as well as evaluations and letters of approval.

Disposition: Destroy when superseded, obsolete, or when no longer needed to support the function for which accumulated.

**2200-02 Demand Reduction Files.** The Demand Reduction Directorate (DRD) is responsible for developing DoD policy regarding counterdrug issues pertaining to drug-free workplaces, schools, rehabilitation treatment, public awareness/prevention, urinalysis testing programs, and oversight, to include inspections of laboratory facilities (military & civilian) used in the urinalysis testing program. Laboratory oversight files consist of inspection reports by the Science and Testing Programs Officer as well as periodic inspection/evaluation reports submitted by the Military Services.

Disposition: a. Policy documents: Permanent. Cut off and retire to the WNRC when superseded or obsolete, in accordance with the provisions of series 103-01. b. DoD and Service inspection reports of test-lab facilities, cut off annually, retire to the WNRC 2 years after COFF, destroy after 15 years. c. Routine correspondence and background materials accumulated in the performance of the DRD oversight mission, destroy when superseded, obsolete, or no longer needed for reference, as prescribed for papers filed under series 103-08.3.

2200-03 Directorate for Systems. These files contain papers documenting the Coordinator's role in formulating policy and overseeing the execution of systems and technology programs pertaining to DoD counterdrug activities. These programs include sea- and land-based tethered balloon radars (AEROSTATS), Caribbean Basin Radar Network (CBRN), over-the-horizon (OTH) radar, and other programs dealing with surveillance, intelligence, and target acquisition, correlation, and monitoring efforts. Papers consist of correspondence with other DoD offices and civilian law-enforcement agencies (U. S. Customs Service, DEA, FBI, Dept. of Transportation, etc.) and the Congress; and memorandums of agreement, briefing and point papers, procurement actions, studies, and evaluations relating to DoD counterdrug activities.

Disposition: a. Policy matters: Permanent. Cut off and retire to the WNRC when superseded or obsolete, in accordance with papers filed in accordance with series 103-01. b. Working papers will be destroyed when superseded, obsolete, or no longer needed for reference purposes, as prescribed for papers filed in accordance with series 103-08.3

**2300 On-Site Inspection Agency.** Files in this series document OSIA's mission to manage, coordinate and conduct on-site inspections, portal monitoring, inspection escort and observation activities in accordance with the provisions of treaties including the Intermediate-Range Nuclear Forces Treaty (INF), Strategic Arms Reduction Treaty (START), Conventional Armed Forces in Europe (CFE) Treaty, Open Skies Treaty, Chemical Weapons Agreements, and the Threshold Test Ban (TTBT) and Peaceful Nuclear Explosions (PNET) treaties.

**2301-01 Treaty Inspection and Monitoring Files.** These files consist of inspection documents, reports, logs, treaty protocols, checklists, handbooks, site books, issue papers, and other documents pertaining to OSIA's inspection and monitoring responsibilities (NI-330-93-4).

1. Signature copies of inspection documents consisting of specifications of inspection sites, baseline reports, short-notice inspection reports, and elimination and closeout reports. Also includes monthly inspection reports and test site activity logs recording on-site inspections; hydrodynamic and seismic measurements; coordinated schedule for testing; and inventories of hydrodynamic and seismic equipment in use at test sites.

**Disposition:** Original signature copies: Permanent. Transfer to the National Archives on SF 258 when no longer needed for reference purposes, or when 10 years old, whichever is sooner.

2. Inspection reports consisting of weekly reports on activities at monitoring sites.

**Disposition:** Destroy 1 year after publication in monthly report.

3. Site books, escort and/or inspection handbooks, and operational procedures, and related materials pertaining to the actual conduct of inspection, monitoring, and escort activities.

**Disposition:** Permanent. COFF at upon expiration of treaty or termination of monitoring/inspection function and retire to the WNRC. Transfer to NARA 30 years after cut off.

4. Daily (Site) Activity Logs. These are logs maintained on-site containing entries cover every activity observed during a 24-hour period, including verification of vehicles exiting the site which are not required to be inspected under the terms of a treaty.

Disposition: Cut off at the end of each calendar year; retain in the current files 2 additional years and destroy.

5. Intelligence report files. Copies of DIA/CIA intelligence reports on various weapons systems.

Disposition: Destroy when weapon concerned is removed from the inventory or when no longer needed for reference purposes, whichever is later.

#### **2301-02 HQ and Command Operations Centers Files**

1. Duty Logs containing daily entries on all activities recorded by the operations centers personnel during every 24-hour period (NI-330-93-4).

Disposition: Permanent. Cut off after 90 days, hold in inactive file until no longer needed for reference, and retire to WNRC. Transfer to NARA 30 years after cut off.

2. State Department Notification Message Files. These are maintained by treaty and consist of American notification cables (ANC) and Soviet notification cables (SNC).

Disposition: Cut off at the end of CY and destroy.

3. Inspection files. These files contain coordination sheets, notifications from the Risk Reduction Center informing the State Department when to transmit files and copies of actual cable transmissions. Also includes transcripts of telephone calls from inspectors in the field and other pertinent data about the deployed inspection teams.

Disposition: Permanent. Cut off at conclusion of inspection and retire to WNRC when no longer needed for current business. Transfer to NARA 30 years after cut off.

**2300-03 Treaty Inspection Information Management System (TIIMS) File.** This is primarily an electronic data base used to manage OSIA manpower resources and consists of information pertaining to security clearance processing and verification, special access certification, passport status, mission scheduling and planning, inspection team composition, inspector and transport list management files, and inspector training (NI-330-93-5).

Disposition: a. Database file: Archive upon departure of individual concerned; purge after 2 years. b. Hardcopy file: Destroy when no longer needed. (Personal information in this file is covered under OSD Privacy Act System Notice DOSIA.01.)



**2300-04 Training Files.** This file consists of:

1. Records pertaining to individual military training such as EEOC, SAEDA, physical fitness tests, language enhancement training, marksmanship, CPR training, and general military subjects conducted by OSIA.
2. Records pertaining to ancillary training such as Space and Missile Orientation Course (SMOC), Rocket Motor Production Course (RMPC), arctic cold weather course, liquid rocket course, which are conducted by contractors.
3. Records pertaining to treaty-specific training conducted by OSIA such as the history of individual treaties, inspection/escort requirements, rights and privileges of inspectors, etc.

Disposition: Programs of instruction: Use 202-48.1a., retire to WNRC when course is revised or discontinued; destroy when 40 years old. All other records: Use GRS 1, Item 29b., cut off at the end of the CY, hold in current files 2 years and retire to the WNRC; destroy when 5 years old.

### The OSD Functional Files System

The records disposition schedules contained in enclosure 4 to this Instruction are arranged according to a "functional" file system; that is, according to the major functions by which they will be arranged for filing and retrieval. This is the only type of filing system authorized in the OSD. This enclosure outlines in detail how to create and maintain such a filing system.

A. Files Planning. Planning the proper location of files so they are arranged in a manner that will facilitate their use and disposition is the first step in effectively maintaining records. Primary planning considerations are maximizing ease of reference to the files, minimizing duplication of records, preserving permanent records, and systematically disposing of all others.

B. File Plan Designation. A decentralized and specialized file plan shall be used within the OSD. Under this plan, documents that are accumulated and used in performing a function shall be located in the organizational element performing the function.

1. Specialized files of OSD-wide interest and use may be centrally located. The OSD Components may establish centralized file systems in their organizations if they are more effective and convenient.

2. The OSD Components shall establish written procedures - stating or explaining where the record copies are filed. Each such location is known as an office of record.

3. Each office of record is responsible for the custody, maintenance, retirement, and disposition of current documents of the office it serves.

4. The following factors shall be considered in designating offices of record:

a. Access. Records kept sufficiently accessible to the using activities so that maintenance of duplicate files is unnecessary.

b. Security. Classified material maintained in security containers or secured areas established in accordance with DoD 5200.1-R (reference (h)).

c. Space. Adequate space for present and anticipated needs, including the safety, health, and morale of records

personnel. Offices storing large quantities of records shall be given fire protection and shall be designated as nonsmoking areas.

d. Arrangement. Files equipment and supplies positioned to provide control, smooth workflow, and convenience to the maximum number of users. Classified files and containers shall be located away from windows and doors to prevent illicit acquisition of, or unauthorized access to, classified information (AI 27, (reference (o))). Files requiring protection because they contain privacy information will be handled and arranged in accordance with DoD Directive 5400.11 (reference (k)).

C. Records Evaluation. There are two types of records: temporary and permanent (see enclosure 3, Definitions). Temporary records are disposed of in the current files area (CFA) or at a Federal Records Center after a specified period of time. Permanent records are eventually accessioned by the National Archives and Records Administration, at which time they cease to be the property of the originating agency. The value of records is not necessarily determined by how long they will be kept -- many relatively short-term documents (personnel and health records for instance) are extremely important although they do not document the operation of the Federal government, which is a major criterion for permanent records. The evaluation process is participative and includes the document creator, the Records Management Division, and NARA evaluators, if required (see Figs. 5-1 and 5-2).

D. Documentation and File Arrangement. Documentation concerns the creation of records and the assembly or consolidation of these papers in proper sequence. Effective documentation ensures a complete account of actions taken, commitments made, and results achieved. File arrangement is simply the relative positioning of records in a file. Effective file arrangement produces easy retrieval and disposal of documents.

#### E. Basic File Groups

1. Subject Files. These are files arranged according to their general content, or papers on the same topic brought together in one place to make finding them easier. Subject files consist mainly of general correspondence but may also include forms, reports, and other material that relate to programs and functions but not to specific cases. The purpose of the subject file is to provide complete documentation in the appropriate subject functional area. An example of subject files is office administration files which are broken down into policy, instruction, agreement, committee, staff visit, and reference paper subject categories.

2. Case or Project Files. A case or project file contains material on a specific action, transaction, event, person, project, or other subject. Case files may cover one or several subjects that relate to a particular case. A contract file maintained by an Agency contracting office for example might contain proposals, bids, addenda, inspection reports, payment authorizations, correspondence, and legal papers. An Agency contract monitor, on the other hand, would keep a case file containing copies of interim and final technical reports, memorandums, correspondence, and other documents on a contractor's performance and production of a specified deliverable. Another familiar example of a case file is the Official Personnel File. Case filing is the most efficient method for filing and using large quantities of records. The NARA estimates (1983) that 85 percent of all Federal records are arranged as case files.

a. The documents may cover one or more subjects on a case or project but will always be filed by a specific title or number.

b. A distinguishing feature of a case or project file is the similarity in nature of the papers within the case folders.

c. Papers are arranged within each case file in chronological order with the most recent papers placed at the front of the file folder.

d. Case or project files are closed upon occurrence of an event or action and placed in an inactive file. Examples of events or actions that would result in placing a file in inactive status would be the decease or separation of personnel, a final contract payment, or project completion.

e. Case files may be filed alphabetically by name, title, country, organization, or numerically to permit ease of filing and finding, without resorting to special finding aids such as indexes and guide cards maintained separately.

3. Reference Files. Sometimes called convenience files or working files, may include extra copies of documents that are officially recorded elsewhere, such as books, pamphlets, and catalogs. These files should be reviewed periodically to retain only those that are current and of significant reference value.

F. Filing Arrangements. The first step in arranging a group of files is to determine the major functional categories that apply. These are listed in the main body of this

Instruction. Assistance is also available from the Records Management Division in helping make this determination. After selecting the major functions file grouping, a method of arranging each group is selected based on the primary function by which the file will be requested. Within the basic arrangement selected, one or more arrangements for further breakdown or subdivision may be used. For example, geographically arranged records may be arranged further by organization; records filed by subject may be arranged chronologically. This is optional with the office requiring the creation of specific files, provided they use one of the following systems:

1. Numerical Arrangement. This system is used to arrange files identified and referred to by number, such as bills of lading, requisitions, and purchase orders.

2. Chronological Arrangement. This system is used to arrange files in date sequence when the date is the primary means of reference, and is useful for keeping records in small, manageable groups; usually by year, month, day. Reading and suspense files are examples of files arranged by date.

3. Geographical Arrangement. This system is used to arrange files by geographical location, such as area, country, state, or county; it is used when the geographical location is the primary means of reference. The files are arranged first in alphabetical sequence, according to the name of the main geographical area, such as State, then by the next most important subdivision required for reference, such as counties or cities.

4. Organizational Arrangement. This arrangement is used when the name of the organization is the primary means of reference. Organizational arrangement is fundamentally an alphabetical arrangement of organizations as they relate to each other.

5. Alphabetical Arrangement. This system is used to arrange a file by names of persons, companies, or agencies in alphabetical sequence. Articles, conjunctions, and prepositions are disregarded when filing alphabetically.

6. Subject Arrangement. This system is used to arrange files by subject when the subject is the primary means of reference.

7. Functional File System. Under this system, a document is filed by the function to which it relates and not necessarily according to the subject of the document. This is the OSD-preferred system and is further described in paragraph h., below.

G. Records and Files Survey. Each office of record shall prepare a listing identifying each file series of records it maintains. This listing will provide a comprehensive system of identification, maintenance, and disposition of documents. In preparing and maintaining the listing, each office of record shall:

1. Forward one copy to their component records management officer.
2. Review the Records Disposition Schedule (see enclosure 4) annually to ensure that all records are properly identified and the schedule is accurate and complete. If revision is deemed necessary, contact the OSD Records Administrator through the component records manager.

H. Functional File System Concept

1. The OSD functional file system is based on the concept that each element or office maintains records documenting the performance of each of its functions.
2. The functional file system for the OSD is a system for identifying and arranging records, following the principle that identification or coding of records, papers, correspondence, and communications is intertwined with the function that they document. The coding and arrangement of files under this system lend themselves to a more flexible arrangement.

I. Organization of the OSD File System. The organization of OSD functional file system provides for the division and identification of records and documents into several distinct subject series to facilitate referencing and disposition.

1. Series 100 pertains to Office Administration Files. These files relate primarily to the performance of the administrative operations in general or to the normal housekeeping operations of any office.
2. Series 200 and up pertain to the functional files. The first subdivision of each of these functional series is devoted to administrative files on the particular functions as opposed to the general administrative file in series 100. These series relate to specific major functional or functional subgroup areas of the OSD. Series identification file number descriptions and instructions for retention and disposition for all the functional file series are contained in Enclosure 4.

J. Applicability. The OSD filing system shall apply to all files. Excluded are publications, blank forms, reference materials, books in formally organized and officially designated libraries, and reproduction material, such as stencils and offset masters.

K. Functional Area Numbering System

1. The OSD file system is set up on a functional basis and does not necessarily follow an organization relationship. Following are the present major groups with the appropriate numerical designation:

100	Office Administration (General) and Common Mission Files
200	Administration
300	Comptroller
400	General Counsel
500	Intelligence
600	Reserve Affairs
700	Public Affairs
800	Policy
900	Health Affairs
1000	Legislative Affairs
1100	Command, Control, Communications and Intelligence (C <sup>3</sup> I)
1200	Acquisitions
1300	Research and Engineering
1400	Program Analysis and Evaluation
1500	Atomic Energy
1600	Machine-Readable and Word Processing Files
1700	Court of Military Appeals
1800	Personnel and Readiness
1900	DoD Dependents Schools

- 2000 Operational Test & Evaluation
- 2100 Special Operations & Low-Intensity Conflict
- 2200 DoD Drug Policy Coordinator
- 2300 On-Site Inspection Agency

2. These major functional groups are further divided into functional subgroups, as shown in the examples below:

- 305 Audit Files
- 703 Defense Information

3. A dash is then employed before designating the third category breakdown and a two-digit number, such as 01 or 08, is always used with this category. Examples are:

- 305-01 Inter-Service Audits
- 703-01 Media Travel

4. By combining all elements of this numbering system, the following examples demonstrate their composition:

- 300 Comptroller
- 305 Audit Files
- 305-01 Inter-Service Audit Files
- 305-01.1 DoD Audit Performance Files
- 1800 Personnel and Readiness Files
- 1805 Civilian Personnel Policy Files
- 1805-03 Compensation and Position Management Files

5. Most of these categories are functional breakdowns and not files. A file shall be set up for only the lowest category shown which will always appear as the third or fourth breakdown. Also, for a category actually to be a file, it has to have a description and be included on the disposition schedule as listed in the Records Disposition Schedules (enclosure 4). In the 100 and 200 (Office Administration) series and a few of the remaining categories, files shall be set up for the third major



breakdown such as 101-01.

6. File numbers in the 100 series are common to most offices in the OSD and are described in greater detail in Enclosure 4. The OSD Records Management Division does not designate specific functional files for each office to allow flexibility in setting up specific files under functional areas.

a. A listing of all files kept in an office shall be maintained by the OSD Components. In the 200-up series, the digit numbering system shall be used to designate specific office files.

b. Each office shall determine the functions for which they are primarily responsible and assign numbers to the specific files that office maintains under that function.

#### L. Files Control

1. The success of any filing system depends upon several steps: arranging guides and folders, preparing and filing materials, retrieving papers in the files and charging them out, keeping the files orderly, and transferring or destroying inactive or useless files in accordance with approved disposition standards.

2. Any system is acceptable that employs the procedures and conforms to the disposition schedules at enclosure 4. However, the procedures explained in paragraph m., below, and illustrated in Figures 5-3 through 5-5 to this enclosure, should be followed as closely as practicable to ensure uniformity and efficiency in storing, retrieving, and disposing of files. Nevertheless, file managers should use discretion and initiative. For instance, file folder labels do not have to be typed but they must be neat and legible. Labels must have all the information required to identify the papers in the folders, but they do not necessarily have to be in the exact format shown in Fig. 5-3, especially if the folders will not readily accept the standard stick-on labels. When variations are permitted, they should be applied as temporary measures only, and the standards prescribed herein should be adopted as soon as practical. The best time to do that is when new files are created or old ones are remade.

#### M. Preparing and Using Guide Cards, File Folders, and Labels (see Figures 5-3 thru 5-5).

1. Guide Cards. Prepare and use guide cards to identify each major file series or to identify and support portions of the series: type standard labels and attach them to the guide card tab; do not retire or discard file guides when files are disposed of, reuse them.

2. File Folders. Type identifying data on standard labels, positioning them on the folders as outlined in subsection M.3., below. When the material in any one folder reaches normal capacity of approximately three-fourths of an inch thickness, prepare another one. The second folder should begin at a logical point, such as the beginning of a month or a calendar quarter. Place folders behind related guides. A "dummy" file folder -- with a label that shows all the required disposition information but is not used to file documents -- may be used as the first folder in a record series. This saves repeating all the same information on the succeeding folders in that series, which require only the basic series number followed by the file name (See Fig. 5-4).

### 3. Labels.

a. Preparation of Labels. Label all file folders to include the number, title, year file created, cutoff date, and disposition instructions. The exception is when a dummy file folder is used. Subtitles and commonly accepted abbreviations may be used:

101-05 Office Classified Document Receipt Files  
(91) COFF Dec 31, 1991, DEST Jan 94

606-04 Staffing Policies and Programs  
(90) COFF Dec 31, 90, PIF Jan 91  
Transfer to the WNRC When Superseded

607-05.3 Legislation and Selective Policies Files  
(91) COFF Dec 31, 91, PIF Jan 92  
PERM Transfer to the WNRC 96

b. Label Abbreviations. In addition to commonly used abbreviations, use the following in preparing labels:

CFA	Current Files Area
COFF	Cutoff
DEST	Destroy
WNRC	Washington National Records Center (WNRC), Washington, D.C. 20409
NPRC	National Personnel Records Center, GSA (Civilian Personnel Records) 111 Winnebago St., St. Louis, Missouri 63118
	National Personnel Records GSA (Military Personnel Records) 9700 Page Boulevard, St. Louis, Missouri 63132
PERM	Permanent
PIF	Place in Inactive File
TRF	Transfer
RET	Retire
REFP	Reference Paper

N. Preparing Documents for Filing. Files personnel shall:

1. Except for those documents obviously ready for filing, ensure that authorization for filing -- the word "file" and the initials of the authorizing official on the right side of the document-- has been obtained. File authorities are not required or necessary for documents that are self-identifying.

2. Ensure that each document set is complete and that enclosures or related papers are retained or accounted for.

3. Remove or destroy identical, duplicate copies of documents before filing.

4. Remove all mail control forms, classified cover sheets, envelopes, and routing slips, except those containing remarks of significant record value.

5. Mend or reinforce torn or frayed papers with transparent tape.

6. Assemble related documents for filing, as indicated below, and file by the date of the latest action.

a. The latest action on top.

b. The basic paper.

c. Endorsement, beginning with the earliest paper.

d. Enclosures in numerical order.

e. Supporting papers.

7. Staple related documents together in the upper left corner. When the material is too thick to use wire staples, use pronged fasteners to fasten related material.

8. Bring forward related documents, if appropriate. Combine documents of a later date that relate or refer to documents of an earlier date, only when reference to them is necessary. A reference to earlier document does not necessarily require that documents be combined. Do not combine:

a. Recurring reports with the policy documents requiring such reports.

b. Applications with the instructions governing their submission.

c. Documents on the same subject on different transactions, such as reports of inspection of two different organizations.

d. Use a cross-reference sheet for documents brought forward to maintain continuity.

U. Coding Documents for Filing. After documents have been prepared for filing, the next step is to code or categorize them. Coding segregates the papers into logical categories for ease of filing and finding. The OSD Component personnel shall adhere to the following guidelines for identifying documents to be filed:

1. Exercise care in determining their administrative, legal, and research value to the OSD and the WHS; their relationship to the organization; usefulness as archival documents; and the costs of keeping them. See Records Disposition Schedules, enclosure 4, and the office file plan for proper file code number.

2. In selecting a file number, first determine the functional series that represents the subject matter, and the specific subdivision.

3. Select the proper file designation by referring to the series and title descriptions listed in enclosure 4. (See Figure 5-3.)

4. Indicate the filing designation (file number) on the right margin of the document.

5. If the material being filed involves one or more subjects by which it may be requested, indicate the cross-reference file number for the additional subject by placing it below the file number shown for the major subject. The cross-reference is preceded by an "X" to distinguish it from the major subject file number and to indicate that it is a cross-reference.

#### P. Cross-Reference

1. Cross-references are made to locate documents promptly when they are needed. A cross-reference is a paper filed under one classification and date to show the location of material filed elsewhere.

2. Frequently an extra copy can be annotated to show where the original is located and then filed under the cross reference number. When this is not feasible, a blank sheet, conspicuously annotated to show the record copy location, may be used instead.

Q. Filing Procedures. The OSD Components shall:

1. Match the file designation of the papers with the folder labels before placing papers in the folders.

2. File papers loosely in the proper folder with the latest date in front, avoiding the use of pronged fasteners. Use pronged fasteners when the files are frequently used, when sequence of arrangement is of special importance, and when all documents pertain to the same transaction case or project.

3. Keep folder labels visible by neatly arranging papers in the folders. When the contents of the folder increase to the point that the papers begin to obscure folder labels, crease the bottom front of the folder. When contents of the folder reach three-fourths of an inch, make a new folder bearing the same file designation and place it in front of the full folder, showing inclusive dates on the folders.

4. Prevent overcrowding files by allowing at least 4 inches of space in each active file drawer to permit sufficient working space.

5. Avoid cluttering the files. File bulky material separately in storage equipment suited to its size. Maintain this material in file classification, date, or serial number order. Make a cross-reference to the bulky material and annotate in a conspicuous location or with the filed papers. Mark the bulky material with storage location and file number to associate it with related papers kept in the primary location.

R. Labeling File Drawers. File drawers shall be labeled to facilitate retrieval, and discretion used so that identification numbers or markings do not indicate the classifications of material stored therein. Only the major file series and inclusive dates of the material are indicated.

S. Chargeout Procedures. An SD-169 (OSD Records Chargeout) is prepared as a substitute for documents or other records borrowed or permanently withdrawn from the files. The chargeout card is placed in the subject folder at the exact place where the material was filed so that the "OUT" portion is visible. This facilitates identification of charged out files and expedites refiling them. When chargeout material is refilled, the entry on the form is lined out and the form reused.

T. Classified Documents

1. Classified files shall be safeguarded in accordance

with DoD 5200.1-R (reference (h)).

2. The interfiling of unclassified and classified papers shall be restricted to those papers that directly support, explain, or document the record of the action or transaction.

3. Classified documents or other material shall be filed or stored in approved classified containers or secure areas appropriate with the classification of the material to be protected.

#### U. Files Cutoff Procedures

1. "Files cutoff" is the process of transferring a file from the active to the inactive state. Generally this is expressed as "COFF 31 Dec 91," followed by transfer or destruction information. Until the file is transferred to a Federal Records Center or destroyed, it is held for reference only; no new documents will be added after the cut off date. Inactive files must be kept separate from active ones to guard against misfiles. A new folder is put into the active files to replace the old one.

2. On an annual or fiscal year basis, whichever is appropriate, all offices shall cut off files and separate active from inactive; retire, transfer, or destroy eligible material according to disposition procedures contained in enclosure 4; and review and destroy all duplicate or extraneous materials. Cut off:

a. Calendar year files on December 31.

b. Fiscal year files on September 30.

c. Files with a retention period of less than 1 year on a monthly or quarterly basis, as with chronological reading files, for example.

d. Files maintained as case or project files are cut off upon the occurrence of a certain event, such as separation of personnel, final contract payment, or project completion. Upon cutoff, move such files to an inactive file until they are eligible for destruction or transfer to a Records Center, in accordance with disposition procedures contained in enclosure 4.

## **Special Information Needed to Schedule Records as Permanent**

**Initial date, arrangement, and total  
volume of each schedule item**

**Transfer date and annual  
accumulation of recurring records**

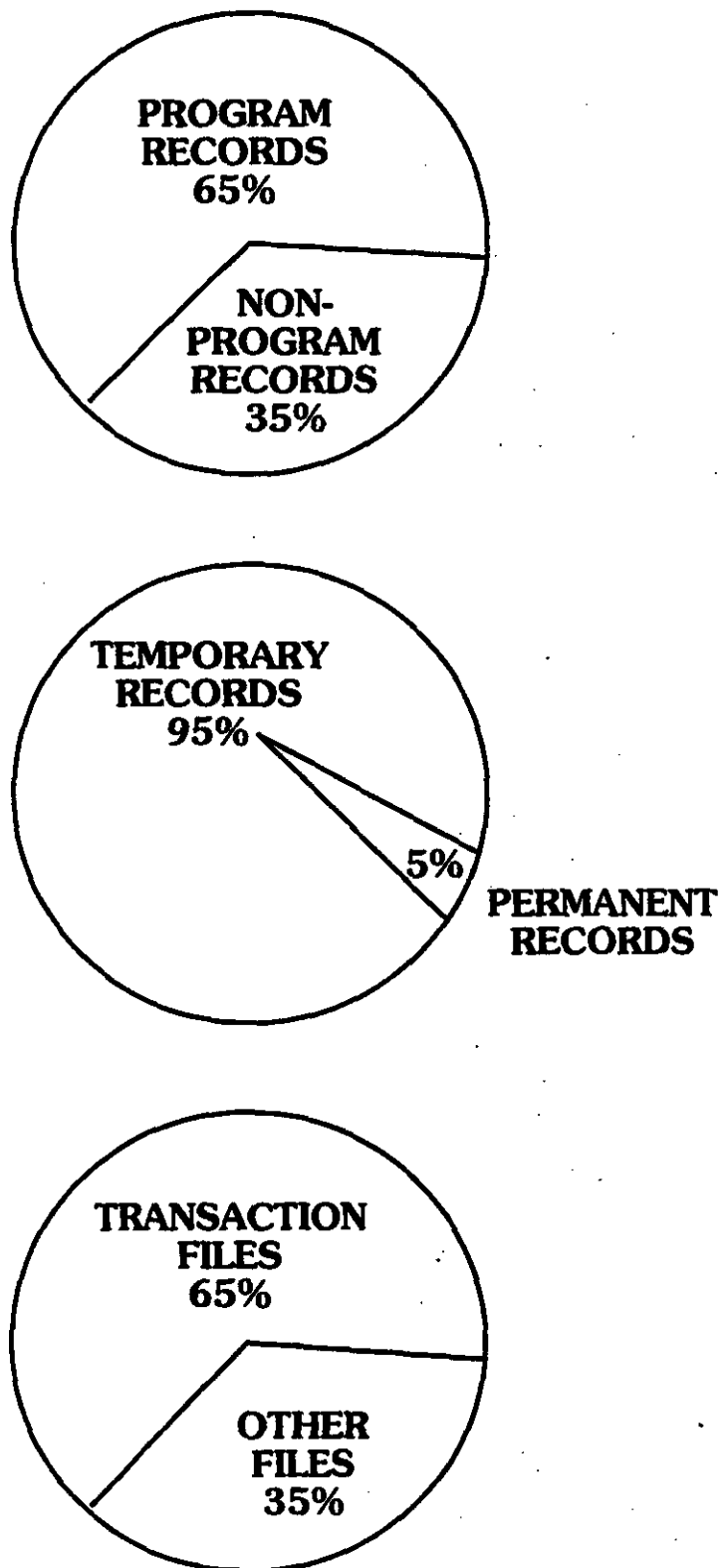
**Any access restrictions to be  
imposed by NARA on records  
proposed for immediate transfer**

**Volume, inclusive dates, and any  
FRC accession and box numbers  
related to nonrecurring records  
proposed for immediate transfer**

**Figure 5-1**

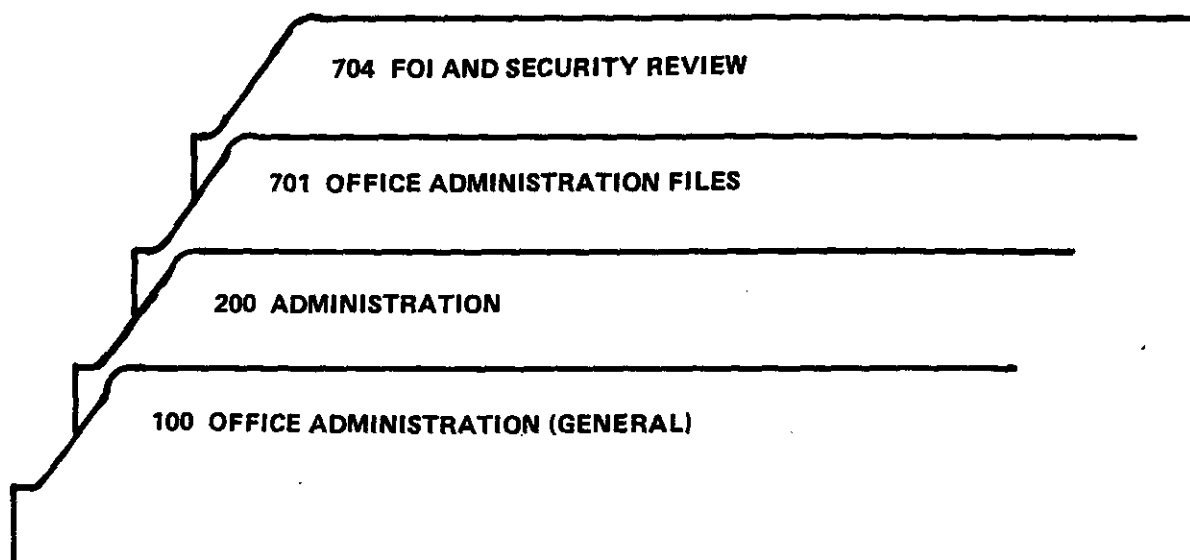
**Special Information Needed to Schedule Records as Permanent**



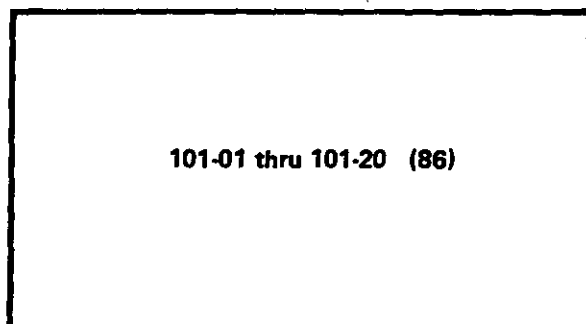


**Figure 5-2**

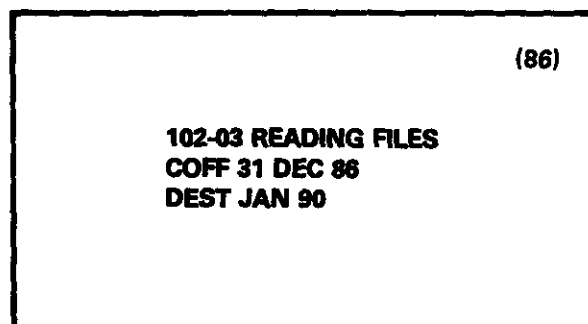
**The Appraisal Process: Three Aspects of Federal Records**



**GUIDE CARD LABELS.** Breakdown of guide cards is authorized if files within one subfunctional category are voluminous, e.g., the 700 category (Public Affairs) is further divided with guides cards for 701, 704, etc.



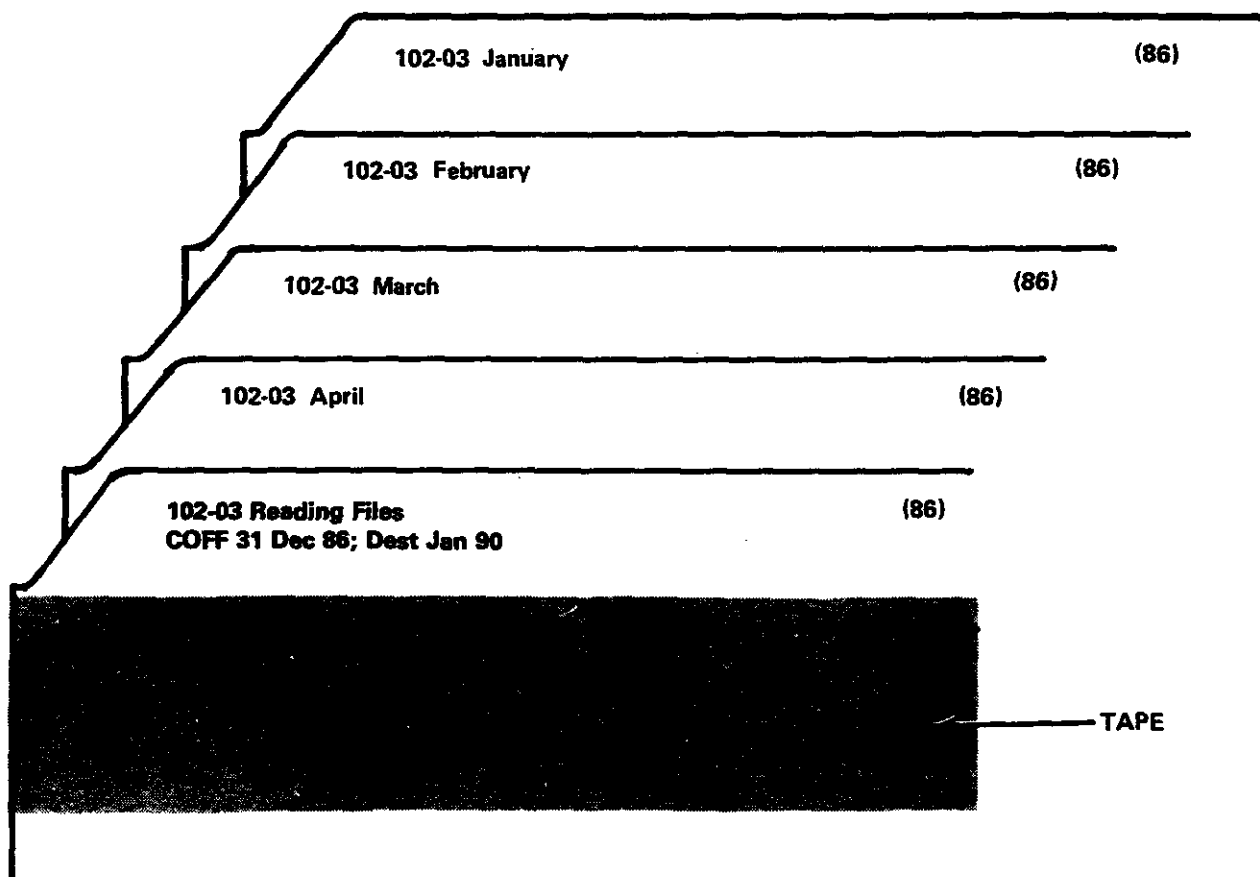
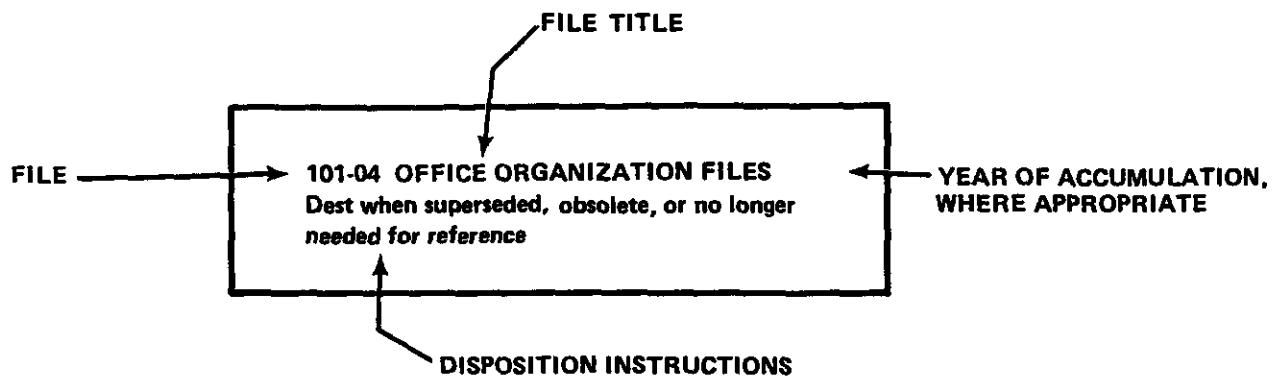
Sample label entry for drawer that contains two or more record series. No disposition is shown on the label because it varies among the several record series in the drawer.



Sample label entry for drawer that contains one (and only one) record series, and contains *all* of that record series. Note that drawer label is identical to folder label in this case.

**Figure 5-3**

**Examples of Guide Card and Drawer Label Entries**



**USE OF "DUMMY" FOLDER.** When there are several folders within one file number, a "dummy" file folder may be used as the first in the series. Tape it shut so that no documents can be inadvertently filed in it. Subsequent folder labels need only show the file number, contents and year of accumulation (if appropriate).

**Figure 5-4**  
**Samples of Label Entries**

<p>102-01</p> <p>REF PUB FILES</p> <p>DOD DIRS 1000.17 thru 1325.6</p> <p>DES WHEN SUPSD, OB, OR NO LONGER NEEDED FOR REF</p>	<p>102-01</p> <p>DOD DIRS 1327.5 thru 4120.14 SERIES</p>	<p>102-01</p> <p>DOD DIRS 4120.15 thru 7220.8</p>	<p>102-01</p> <p>REF PUB FILES</p> <p>DOD AIs 1 thru 90</p> <p>DEST WHEN SUPSD, OB, OR NO LONGER NEEDED FOR REF</p>
---	--	---	---

Figure 5-5

Sample Label Entries for Binders  
Containing Reference Publications

### FILING EQUIPMENT AND SUPPLIES

This enclosure sets forth standards and policies governing the procurement and use of filing equipment and supplies from the perspective of an efficient and cost-effective records management program.

A. General. Filing equipment includes all containers, machines, devices, and furniture used for maintaining and servicing files, exclusive of records storage boxes.

#### B. Equipment Conservation

1. The use of proper equipment and supplies saves time for professional and clerical personnel. Filing equipment used by the OSD shall be efficient and economical to meet requirements. Filing equipment may not be requested solely to improve appearance, office decor, or to acquire the latest design. Used or reconditioned equipment shall be used when available. Excess equipment shall be returned to supply for redistribution.

2. Storing large amounts of blank forms, publications, and other office supplies in filing cabinets shall be avoided.

3. Managers must remain aware of and consider alternatives to traditional storage methods, such as conversion of hardcopy records to miniaturized format, or incorporation of information into electronic data bases when economic analysis indicates that they are workable and will decrease cost or improve productivity.

4. Agency records officers and administrators must ensure strict adherence to the disposition schedules at enclosure 4 to free filing equipment by transferring files to a Federal Records Center as soon as they are eligible.

#### C. Standard Filing Equipment

1. Standard Equipment. Standard equipment listed in the GSA Store Catalog, Federal Supply Schedules, and the Defense Services Fund Catalog shall be used. Nonstandard equipment shall be obtained only when completely justified and the acquisition approved by the OSD Records Administrator.

2. File Cabinets. Careful consideration shall be given to selecting the best file cabinets for a particular files operation. The 5-drawer filing cabinets have been standardized

because they provide 25 percent more filing area in the same amount of floor space as the 4-drawer cabinets.

3. Containers for Safeguarding Classified Material. Classified documents and material shall be stored in security containers and filing equipment authorized by DoD 5200.1-R (reference (h)).

4. Shelf Files. Shelf filing equipment costs less than standard file cabinets, requires less office space, and permits ease of filing operations. Standard shelf filing equipment may be more appropriate than filing cabinets for records that are alphabetically or numerically arranged, such as case or project files. They are not authorized for storage of classified material unless the units are located within secured areas established and protected in accordance with DoD 5200.1-R (reference (h)). Requests for open-shelf filing must be approved by the OSD Records Administrator. Shelf filing equipment shall be considered when the records total 50 cubic feet or more (exceptions must be approved by the OSD Records Administrator) and when:

- a. The purchase of filing equipment is contemplated.
- b. Additional space for filing operations is required and only a limited amount of space is available.
- c. The filing station is in a relatively permanent location.
- d. The area is relatively free from excessive dust and other adverse conditions.
- e. The area provides the degree of security required.

D. Requesting and Controlling Specialized Filing Equipment Requests for specialized, nonstandard file equipment not listed in GSA or other Government catalogs shall be submitted through the OSD Records Administrator, who shall review the requests and the file operations involved. Recommended action shall then be forwarded to the Director, Real Estate and Facilities, WHS.

E. Requisitioning File Cabinets. Requisitions for additional standard file equipment shall be submitted through the OSD Records Administrator for recommendations to the Director for Real Estate and Facilities, WHS. Review by the OSD Records Administrator shall include:

1. A survey of the files of the requisitioning office to determine whether the requirement for additional space may be obtained by disposal of eligible records, and to ensure that existing equipment is properly utilized.

2. That all records are included on the Records Disposition Schedule, and maintained in accordance with this Instruction.

3. That all eligible noncurrent permanent and long-term records have been retired to the appropriate Records Centers.

4. Ensuring that secure filing equipment is utilized for storage of classified documents. Exceptions to this policy may be made when small amounts of unclassified files are stored in otherwise empty file space and additional file equipment would have to be obtained to comply with this Instruction. All security filing equipment not utilized for classified material shall be exchanged for nonsecurity equipment. The above provisions apply only to the control of existing equipment.

F. Files Supplies

1. General. Files supplies include all folders, guides, fasteners, labels, forms, and other related supplies used for maintaining and servicing files.

2. Conservation. Use of folders and guides aids in conservation of supplies by:

a. Limiting the volume of material placed in folders and file drawers so that new materials may be inserted and withdrawn without damaging the folders and guides.

b. Placing folders and guides in drawers so that their bottom edges rest flat on the drawer bottom.

c. Reusing folders and guides whenever possible.

## DISPOSITION PROCEDURES

A. General. The OSD Records Management Program is designed to preserve records of continuing value; systematically eliminate all other records; and remove less active current records from office space to lower cost storage space (see Figure 6-1). This ensures preservation of permanent records, and reduces the cost and effort of recordkeeping. To achieve these objectives, standard procedures have been established for the disposition of all OSD records.

B. Source of Retention Periods. Retention periods for categories of OSD files are published in the disposition instructions in enclosure 4. Retention periods cited therein have been established in accordance with records management regulations approved by the Archivist of the United States either upon specific application (see SF 115, Fig. 6-2) or through the General Records Schedules. Recommendations for changes to retention periods and disposition procedures shall be submitted to the OSD Records Administrator for approval.

C. Changes to Retention Periods. Retention periods are changed as a result of the continuing evaluation of files and changes in statutory, legal, financial, and administrative requirements. Changes are applied in accordance with the general rules in subsection C.1 and 2., below.

1. Increased Retention Period. If the change increases the retention period, the new retention period shall be applied to all categories of files concerned, regardless of where they are maintained or when they were created. Those inactive and cutoff files affected by the change shall be brought under the new retention period.

2. Reduced Retention Period. If the change reduces the retention period, such period shall be applied retroactively, unless it is impractical or uneconomical. For example, if the new retention period can be applied to inactive files only by screening files and marking folders on an individual basis, it would normally be more economical to retain the files for the longer period than to attempt to apply the change.

D. Disposition Instruction. The disposition instructions in enclosure 4 provide the overall retention period for the files involved (for example, destroy after 2 years, destroy after 10 years, retire 3 years after cutoff). The disposal period begins at the date the file is cut off, unless otherwise indicated. The periods or retention normally shall be accomplished as shown in subsection D. 1. through 4., below. Examples of specific



instructions containing exceptions to the general time periods and events are: "Destroy when registrant becomes 36 years of age; withdraw and destroy on departure of the individual; destroy when superseded; destroy after next survey." Following are examples of how disposition instructions are to read on file labels maintained on a calendar basis:

1. Files with 1-Month Retention. Files having a retention period of 1 month or 30 days shall be cut off at the end of the month, held 1 month in current files area, and then destroyed. Example: COFF April 30, 1982, DEST, June 1982.

2. Files with 3-Month Retention. Files having a retention period of 3 months or 90 days shall be cut off at the end of each quarter, held 3 months in the current files area and then destroyed. Example: COFF June 30, 1983, DEST Oct 1983.

3. Files with 1-Year Retention. Files having a retention period of 1 year shall be cut off at the end of the calendar or fiscal year held in the current files area, and then destroyed. Example:

Calendar year file: COFF Dec 31, 1985, DEST Jan 1987  
Fiscal year file: COFF Sept 30, 1983, DEST Oct 1984

4. Files of 2 to 10-Year Retention. Files having retention period of 2 to 10 years shall be cut off at the end of the calendar or fiscal year; held 1 year after cutoff in the current files area; and destroyed or retired as provided by the schedules in enclosure 4.

E. Disposition Procedures. OSD components shall:

1. Retire records designated for annual retirement on a calendar or fiscal year basis to the appropriate Federal Records Center. Mark these files as follows:

a. Calendar year file - COFF Dec 31, 1980, Transfer to the WNRC Jan 1981, DEST Jan 1982.

b. Fiscal year file - COFF Sep 30, 1981, Transfer WNRC Oct 1982, DEST Oct 1983.

2. Withdraw from the active file and destroy documents that are disposable upon an event or action and are superseded or obsolete. Examples:

a. Destroy on supersession or obsolescence.

b. Destroy on completion of posting to the proper form.

3. Terminate files that are disposable after a specific retention period following an event or an action, such as audit, final payment, or completion of a project, on the occurrence of the event or accomplishment of the action. Terminate such files by withdrawing them from the active file and placing them in an inactive file, or in the case of large volumes, simply by discontinuing further filing within the files. Cutoff inactive or terminated files and effect disposition in the same manner as for other files with the same retention period.

4. Unless otherwise specified in the disposition instructions, cutoff permanent files at the end of the calendar or fiscal year. Start new folders for the new year, and place the old folder in the rear of the file drawer.

F. Retirement of Classified Files. When TOP SECRET files become eligible for retirement, the OSD Components shall:

1. CONFIDENTIAL and SECRET Files. Observe security requirements of DoD 5200.1-R (reference (h)) when retiring CONFIDENTIAL and SECRET files to the WNRC. Packaging and shipping instructions for classified files are contained in enclosure 8 of this Instruction.

2. TOP SECRET Files.

a. Take necessary action to ensure that all TOP SECRET documents eligible for retirement are reviewed for regrading or declassification as required by paragraphs 3 and 4 of Section 4, Chapter III, DoD 5200.1-R (reference (h)).

b. Retire TOP SECRET documents eligible for retirement as specified in enclosure 4 and transfer them to the WNRC under a separate accession number. Ensure that TOP SECRET documents are not included in accessions that are retired under an accession number identified as SECRET or below; to do so constitutes a security violation since special storage arrangements are made at the WNRC for TOP SECRET documents.

c. Cross-reference regraded or declassified TOP SECRET documents that formed a part of the files that have already been retired and sent to the Records Center. Make an entry on the SF 135 transmitting the documents to retirement. On the Records Transmittal and Receipt form show the designation of the organization and administrative subdivision, the file number and title of the file, and the accession shipment number assigned by the OSD Records Administrator.

d. Staffs of organizations slated for discontinuance shall, prior to discontinuance, review all TOP SECRET documents for downgrading or declassification before shipping records to the WNRC.

3. Since the WNRC is not cleared to provide storage for classified Sensitive Intelligence (SI) documents, such documents must be retained in the office of record or returned to the originating office.

G. Transfer of Files. The transfer of the files from one organization to another is permitted only when a transfer of functions from one Component to another requires the transfer of the files. The order directing the transfer of functions shall provide for the transfer of files. Records transmittal procedures as outlined in enclosure 8 to this Instruction shall be accomplished to document properly the files transfer.

H. Transfer to Other Government Agencies

1. Transfer to National Archives. The policy of the OSD is to transfer all permanent files to the WNRC at periodic intervals so that they may be incorporated into the permanent archives of the Government of the United States. Arrangement for the transfer of the files and the establishment of policies for their use are the responsibility of the OSD Records Administrator. This is accomplished using SF 258 (see Fig. 6-3).

2. Transfer to Other Agencies.

a. NARA regulations prohibit the transfer of files from one Government Agency to another without prior approval of the Archivist of the United States, except when:

(1) Records are retired to a NARA records center.

(2) The transfer of records or functions or both is required by statute, Executive order, Presidential reorganization plan, or by specific determination made thereunder.

b. Authority to transfer OSD records to another Government Agency must be obtained from the OSD Records Administrator. Recommendations for transfer submitted for the OSD Records Administrator shall include a concise description of the files to be transferred; an estimate of the volume in linear feet; name and location of the agency to which the files are to be transferred; and the reasons for the transfer.

I. NATO Documents

1. AI No. 27 (reference (o)) contains control instructions for NATO documents and refers to applicable disposal authorities. NATO documents classified SECRET and below may be maintained with other OSD records when it is determined that they form an integral part of a file of classified records of permanent value.

2. Control and Disposal Procedures.

a. Classified document receipts, destruction certificates, and registers relating to NATO, COSMIC, TOP SECRET, and SECRET documents that reflect the final disposition of documents in a subregistry shall be disposed of in accordance with (AI 27, (reference (o))).

b. Document receipts, destruction certificates, and other control files relating to NATO or documents having a lower security classification than those indicated above shall be disposed of in accordance with enclosure 4.

J. Disposition of Files and Changes of Status.

1. Transfer of Functions. When a function is transferred from one OSD organization to another, the current files relating to the transferred function shall be transferred to the gaining organization, where they are maintained as a separate entity to preserve their administrative origin. Inactive (cutoff) files shall be transferred to the WNRC. A list of the files transferred to the gaining organization, and a copy of the SF 135 listing inactive files transferred to the WNRC shall be furnished to the Records Manager of the gaining organization.

2. Redesignation or Reorganization. On redesignation without transfer of function, files shall be continued and cut off in the same manner as though no change had occurred.

3. Discontinuance of an OSD Component. On discontinuance without transfer of functions, files not authorized for immediate disposal shall be retired to the designated records center. These procedures are equally applicable to any specially organized element such as a board, committee, council, or commission.

K. Disposition Standards. The OSD Records Administrator shall review recommendations for new or revised files disposition procedures or standards, and make recommendations for final

approval to the NARA.

L. The Records Managers for OSD Components shall:

1. Recommend to the OSD Records Administrator when necessary modification of disposition procedures or schedules in enclosure 4 explaining in detail why they should be changed.

2. Follow the format and writing style used in the descriptions and disposition instructions, in presenting recommendations relating to unidentified files, since the proposed standards may have OSD-wide application.

3. Recommend to the OSD Records Administrator establishment of disposition standards for files for which no instructions are provided. Include the following information:

a. Recommended series and/or file title.

b. A complete description of the file, including types of documents included therein.

c. Explain what the series documents: Who, where, when, why, and how an agency operates or what the agency does or produces.

d. Explain who creates the information used in the series, who receives the information, who uses it.

e. Explain what information is recorded in the series.

f. Is the series subject to legal, fiscal, or other requirements? Explain.

g. Identify what retention period is required to satisfy your current business needs:

(1) Retain in the office for 1, 2, or 3 years and destroy.

(2) Retain as above and further temporary storage at the WNRC for 1, 2, 3, 5, or 7 years.

(3) Retain for the years specified above, then permanent retention at the NARA.

h. Explain the following:

(1) Physical form: paper, microfilm, other.

(2) Arrangement: numerical, chronological, geographical, organizational, alphabetical, subject, functional.

- (3) Volume to date in cubic feet.
- (4) Dates the files cover.
- (5) Annual expected accumulation, in cubic feet.
- (6) Location of the records.

4. Complete SD Form 112 (obtain copies at the OSD Publications Counter, Room 3B960).

5. The OSD Records Administrator shall obtain NARA approval to make the proposed change.

## Records Housed in Office Facilities

(Average Annual Cost Per Cubic Foot)

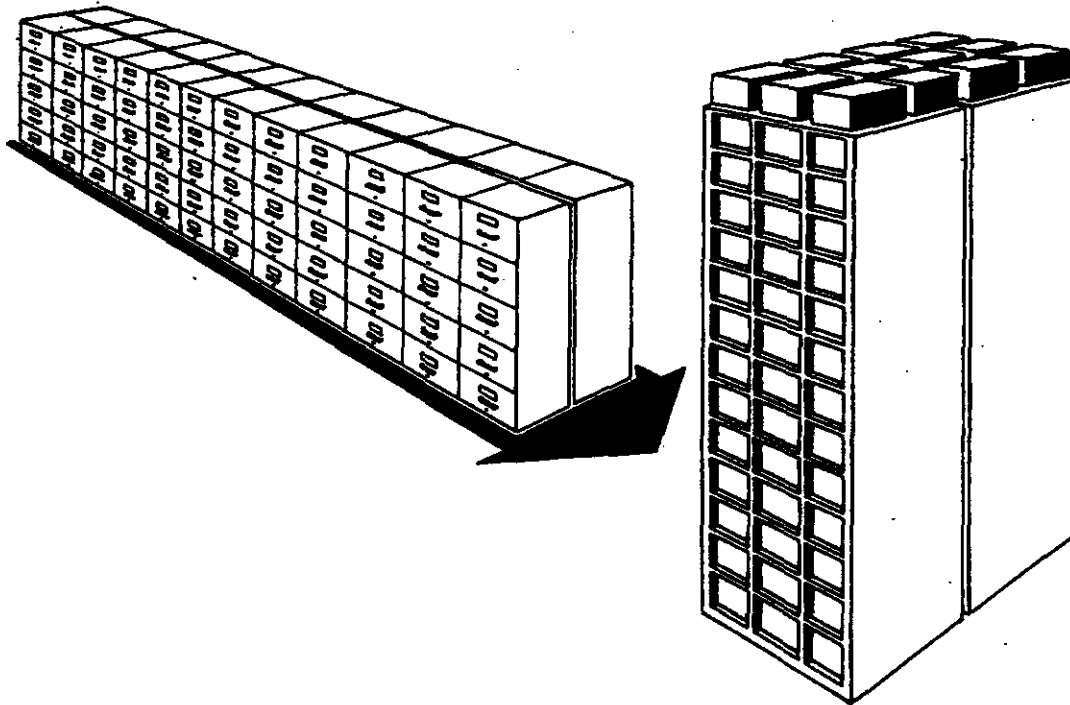
168 cu. ft. of records occupy  
168 sq. ft. of agency space

Space and Maintenance .....\$22.04  
\*Filing Equipment.....53

Total Cost.....\$22.57

\*Amortized in 40 years

## How Centers Save Money on Space and Equipment\*



## Records Housed in Storage Facilities

(Average Annual Cost Per Cubic Foot)

168 cu. ft. of records occupy  
30 sq. ft. of center space

Space and Maintenance .....\$1.45  
\*Filing Equipment.....14 **SAVES**  
**\$20.98**

Total Cost.....\$1.59

\*Amortized in 40 years

\*FY 1993

Figure 7-1

How Centers Save Money on Space and Equipment

REQUEST FOR RECORDS DISPOSITION AUTHORITY (See Instructions on reverse)		LEAVE BLANK (NARA use only)	
TO: NATIONAL ARCHIVES and RECORDS ADMINISTRATION (NIR) WASHINGTON, DC 20408		JOB NUMBER <b>NI-330-93-1</b>	
1. FROM (Agency or establishment) Department of Defense		DATE RECEIVED <b>10-23-92</b>	
2. MAJOR SUBDIVISION Office of the Secretary of Defense		NOTIFICATION TO AGENCY  In accordance with the provisions of 44 U.S.C. 3303a the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10.	
3. MINOR SUBDIVISION WHS, Records Management Division			
4. NAME OF PERSON WITH WHOM TO CONFER J. Eakins Bromide	5. TELEPHONE 703-695-0970	DATE <b>3/23/92</b>	ARCHIVIST OF THE UNITED STATES <b>Ogley B. Oglesby</b>
6. AGENCY CERTIFICATION I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached _____ page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified; and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies, <input checked="" type="checkbox"/> is not required; <input type="checkbox"/> is attached; or <input type="checkbox"/> has been requested.			
DATE <b>10-21-92</b>	SIGNATURE OF AGENCY REPRESENTATIVE <i>Manfred Kaiserkins</i> Manfred Kaiserkins	TITLE Records Administrator	
7. ITEM NO.	8. DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9. GRS OR SUPERSEDED JOB CITATION	10. ACTION TAKEN (NARA USE ONLY)
	OFFICE OF THE SECRETARY OF DEFENSE  103 Common Flights of Fancy Files. These are general policy and administrative files relating directly to the mission of an OSD functional element which are distinct from office administrative and management files.  1. 103-01 Policy Files. Documents concerning the general policy of the OSD as related to any component's mission.  <u>Distribution:</u> Permanent. Cut off and retire to WNRC when superseded or obsolete; transfer to NARA when 30 years old.  2. 103-02 Instruction Files. Documents related to preparing, coordinating, issuing, and interpreting directives, regulatory instructions, and comparable instructional material. These files accumulate at an unreasonable rate in offices responsible for preparation and interpretation of instructions and include  (continued)	NCI-330-77-1209	

115-109

NSN 7540-00-634-4064  
PREVIOUS EDITION NOT USABLESTANDARD FORM 115 (REV. 3-91)  
Prescribed by NARA  
36 CFR 1228

Figure 7-2

Standard Form 115 (SF 115),  
"Request For Records Disposition Authority"



REQUEST TO TRANSFER, APPROVAL, AND RECEIPT OF RECORDS TO NATIONAL ARCHIVES OF THE UNITED STATES <i>(See Instructions on reverse)</i>				LEAVE BLANK		RG			
UNIT		DATE RECEIVED		UNIT		DATE RECEIVED			
JOB NUMBER				JOB NUMBER					
1. TYPE OF ACTION		2. TO		3. UNIT THAT CREATED THE RECORDS					
<input type="checkbox"/> A. OFFER OF UNSCHEDULED RECORDS  <input checked="" type="checkbox"/> B. TRANSFER OF SCHEDULED RECORDS		<input type="checkbox"/> A. RECORDS DISPOSITION DIVISION MAILING ADDRESS: GENERAL SERVICES ADMINISTRATION (NCD) WASHINGTON, DC 20408  <input type="checkbox"/> B. NATIONAL ARCHIVES MAILING ADDRESS: GENERAL SERVICES ADMINISTRATION (NNA) WASHINGTON, DC 20408  <input type="checkbox"/> C. REGIONAL ARCHIVES FEDERAL ARCHIVES AND RECORD CENTER GENERAL SERVICES ADMINISTRATION		A. AGENCY OR ESTABLISHMENT Department of Defense  B. MAJOR SUBDIVISION ASD C4I  C. MINOR SUBDIVISION Mutual Supportability Division  D. NAME OF UNIT Conundrum Resolution Branch  E. NAME OF PERSON WITH WHOM TO CONFER ABOUT THE CONTENT OF THE RECORDS P. Boykin Wheelwright  F. TELEPHONE (Include area code) 703-666-6666					
4. CURRENT LOCATION OF RECORDS		<input checked="" type="checkbox"/> A. AGENCY SPACE (Give location) Rm. 5C315, Pentagon, Washington, DC 20330-1155  <input type="checkbox"/> B. FEDERAL RECORDS CENTER (Identify center and FRC accession no. and enter location)				C. REQUESTED TRANSFER DATE  ASAP			
5. RECORDS DATA									
A. DESCRIPTION OF RECORDS (Give overall title of records, individual documents, dates, and attach Standard Form 135, if records are now in FRC. Continue on separate sheet of paper, if necessary.)									
<input type="checkbox"/> SF 135 ATTACHED FY 1929-1989 Physical Duodecimal Information System (NI-330-29-1) <input checked="" type="checkbox"/> SEPARATE SHEET(S) ATTACHED Documentation									
B. EST. VOLUME		C. ARE RECORDS SUBJECT TO PRIVACY ACT? (If yes, cite agency system number and F.R. volume and page number for most recent notice and attach a copy)		D. SPECIFIC RESTRICTIONS TO BE IMPOSED (Include justification and cite statute or FOI exemption that authorizes such restrictions)					
cu. ft.	cu. mtr.								
3 reels		DWHS 34499761T3456W9B							
E. RECORDS CONTROL SCHEDULE/ITEM NO. OR APPRAISAL JOB NO.				F. AGENCY REMARKS:					
NI-330-29-1				Return tapes to originator					
6. STATEMENT OF AGENCY REPRESENTATIVE									
<p>The records described above and on the attached pages are hereby offered for deposit with the National Archives of the United States in accordance with 44 U.S.C. 2103. It is agreed that these records will be administered in accordance with the provisions of 44 U.S.C. Chapter 21, 41 C.F.R. 101-11.411, 41 C.F.R. 105-61, and such other rules or regulations as may be prescribed by the Administrator of General Services or the Archivist of the United States. Unless specified and justified above, there are no restrictions on the use of these records other than the general and specific record group restrictions on the use of records in the National Archives of the United States that have been published in 41 C.F.R. 105-61.53 or in the Guide to the National Archives of the United States. The Archivist of the United States may destroy, donate, or otherwise dispose of any containers, duplicate records, unused forms, blank stationery, nonarchival printed or processed material, or other nonrecord material in any manner authorized by law or regulation without further consent of this agency. I certify that any restrictions specified by this agency on the use of these records are in conformance with the requirements of 5 U.S.C. 552 and that I am authorized by the head of this agency to act for the agency on matters pertaining to the disposition of agency records.</p>									
A. SIGNATURE OF AGENCY REPRESENTATIVE		B. TITLE		C. MAILING ADDRESS		D. DATE			
Xerxes M. O'Malley		OSD Records Administrator		Washington HQ Services Washington, DC 20301-1155		Aug. 26, 199			
7. ACTION TAKEN BY NATIONAL ARCHIVES AND RECORDS SERVICE, GENERAL SERVICES ADMINISTRATION									
A. ACTION		B. NARS CONCURRENCES						C. FOR NARS USE ONLY	
<input type="checkbox"/> APPROVED  <input type="checkbox"/> DISAPPROVED		INITIALS	UNIT	DATE	INITIALS	UNIT	DATE		
D. NARS REMARKS REGARDING DISPOSITION/SHIPPING									
E. SIGNATURE OF NARS AUTHORIZED REPRESENTATIVE					F. TITLE			G. DATE	
8. RECORDS RECEIVED NARS DEPOSITORY		A. DATE		B. SIGNATURE			C. TITLE		

Figure 7-3  
Standard Form 258 (SF 258),  
"Request to Transfer, Approval, and Receipt of  
Records to National Archives of the U.S."

PACKING AND SHIPPING PROCEDURES FOR TRANSFER OF RECORDS

A. Packaging Records for Transfer to Federal Records Center. Records are transferred in standard GSA cardboard cartons, as specified below, each holding 1 cubic foot. NO EXCEPTIONS PERMITTED. The cartons shall accommodate either letter or legal-sized material. Special containers may be obtained for oversized materials, punch cards, or magnetic tapes. Nonstandard boxes cannot be used.

B. Shipping Containers and Related Supplies. The standard record shipping container to be used for the transfer of files is a fiberboard (lock bottom with reinforced hand holes on each side); 275-pound test; size 14-3/4 x 12 x 9-1/2 inches; FSN 8115-00-117-8249.

C. Requisitioning. Standard-sized boxes are available in the office of the OSD Records Administrator. Containers for odd-size boxes should be ordered directly from supply services using the stock numbers listed below.

D. Shipping Containers for Odd-Sized Documents. When records being shipped are too large or too small for the container described above, the documents shall be securely packed and shipped in a manner that prevents damage enroute. The following containers are recommended for the types of records indicated: (For documents that are normally shipped rolled (maps, charts, plans), fold them and ship in the standard containers described above.)

1. Half-size Box. 14-3/4 X 9-1/2 X 4-7/8 inches NSN 8115-00-117-8338. For shipping 3 by 5-inch card files when strips of cardboard are placed between rows of cards and wadded paper is used to fill any open space in the box. In addition, this box is suitable for shipping punched cards.

2. Magnetic Tape Box, 14-3/4 x 11-3/4 x 11-3/4 inches for Magnetic Tape Records, NSN 8115-00-117-8347.

3. Microfiche Box, 14-3/4 x 6-1/2 x 4-1/2, NSN 8115-01-025-3254.

E. Listing Records for Transfer or Retirement. Files to be retired to the WNRC shall be identified on SF 135, "Records Transmittal and Receipt." When more than one page is required, SF 135A, "Record Transmittal and Receipt Continuation," is used. SF 135 serves as a packing list for the transfer and retirement of files; as a medium for controlling the location and disposition of files in record holding areas and record centers;

and as a receipt for records retired to records centers. Note that in Column 6 (h), Disposal Authority, the AI 15 files series number and NARA Job Number (NC1-330-XX-XX found at the head of each chapter or series description), must be entered EXCEPT for those records contained in a General Records Schedule (GRS), in which case only the GRS citation should be listed. These will be found at the end of the series descriptions to which they pertain.

F. Transfer of Records to Other External Organizations

1. Unclassified files transferred to other external organizations as a result of a transfer of functions, or for other reasons, shall be approved by the OSD Records Administrator, and listed on SF 135 (prepared in quadruplicate).

2. Distribution of Consolidated Records Transmittal List:

a. The original and one copy is forwarded to the receiving organization.

b. Another copy is given to the OSD Records Administrator.

G. How to Prepare Records for Retirement and Shipment to the Federal Records Center.

1. Records Transmittal and Receipt, SF 135 (see Figure 8-1).

a. The retirement and transfer of records require the preparation of a SF 135. These are available at the OSD Forms Center, Room 3A3&4. As the attachment illustrates, each different series of records is a block of records having the same disposal authority and the same disposal date. The revised SF135 has detailed instructions for completion on the reverse side of the printed form. In addition to these instructions, the OSD Components shall:

(1) Describe the records adequately, including the inclusive dates in column f. and the security classification in column g. NOTE: For **PERMANENT** records a folder title list of the box contents or equivalent detailed records description must be provided.

(2) Obtain the accession numbers from the OSD Records Administrator, Room 5C315, telephone 695-0970. When entering volume on the SF 135, except when special containers are used to package oversized materials, punch cards, or magnetic tapes and volume should be expressed as number of boxes or containers, capacity of standard GSA cardboard records retirement cartons is one cubic foot; i.e., the appropriate entry is the total number

of boxes comprising the accession.

(3) When completing column 6(h), Disposal Authority, in addition to the AI 15 disposal citation, you must include either the General Records Schedule disposal authority or the SF 115 (Request for Records Disposition Authority) Job Number. These are found at the beginning of the chapters or the specific files series contained in enclosure 4. If you cannot find these citations or are not sure which ones apply to the records you are preparing for transfer, call the Records Management Division for assistance. Sample entries are provided below.

(a) AI 15, para. 912-01, N1-330-88-3.

(b) AI 15, para 206-09.1b, GRS 6,1.A.2.

(4) Complete the SF 135 in an original and four copies. Forward the original and three copies to the OSD Records Administrator for signature in block 2. Retain one copy for your permanent file. Since this is the only source of information describing the records you are transferring to the Federal Records Center, this document is vital to you and your successors when the need arises to retrieve specific papers from the Federal Records Center. The location information will be furnished to you later (see (b), below).

(a) When retrieval is necessary, identify the accession number of the box that contains the specific material, along with the box and location numbers.

(b) The location information will be furnished to you by the Federal Records Center through the OSD Records Administrator, and recorded on columns (j), (k), (l), and (m) of SF 135 returned from the Federal Records Center.

b. The transfer of records constituting a system of records subject to the provisions of DoD Directive 5400.11 (reference (k)) shall be accompanied by the most recent OSD Privacy Act notices covering the records.

## 2. Packing the Cartons

a. Before placing records in the GSA cartons, the OSD Components shall make sure that any records eligible for destruction are destroyed as authorized in the OSD Records Disposal Schedules.

b. Records shall be packed snugly in the box, but not forced. Existing filing arrangement shall not be disturbed to

make future reference easier; fairly active files shall be packed less tightly than files not expected to be referred to often.

c. Records having different retention periods may not be packed in the same box, nor have the same accession number. The Records Disposal Schedules in enclosure 4 contain retention periods.

3. Labeling and Transferring the Boxes. The information printed on the end of the box shall be completed in black magic marker (available in the WHS Supply Room), and include the accession number, carton number, and security classification if any. The boxes shall be numbered consecutively in the upper right hand corner of the front end of the box starting with No. 1 for each accession number. Each series of records transferred shall be assigned a separate accession number.

#### 4. Transfer of Classified Security Information

a. When eligible for retirement, classified records like unclassified records, shall be transferred to the Federal Records Center. In filling out the SF 135, column g. (Restrictions), must be completed to indicate the classification of the records being transferred. For column f. (Series Description), care shall be taken in describing the records so as not to include any classified information in the description of the file.

b. Before transferring classified material, ascertain whether or not the material can legitimately be downgraded in accordance with Section 4, para 3-402, Chapter III, DoD 5200.1-R (reference (h)), or destroyed.

c. Reference (h) regulations for safeguarding classified material must be followed when classified material is packed in boxes. Paragraphs 8-200b.4 and 8-201b, must be complied with before transfer or disposal of any classified material. Boxes containing classified data must be taped closed, taking care not to cover the informational matter listed on the outside of the box (see Figure 8-2). Each box must be marked conspicuously with the highest classification of material contained in that respective box. If the boxes are not transferred to the OSD Records Management Office but shipped to the Federal Records Center, the provisions of Chapter VIII of must be complied with.

d. TOP SECRET material can be transferred to the WNRC. The SF 135 is completed in the usual manner except that the continuation sheet lists the TOP SECRET documents under each subject and file number to facilitate identification for possible future downgrading. Classified titles are not listed since the SF 135 must be unclassified. TOP SECRET material is not filed in

any accession identified as SECRET or below in classification. The WNRC provides separate storage for TOP SECRET. Failure to retire TOP SECRET documents under a properly identified TOP SECRET accession number constitutes a security violation.

e. See subsection I.5., below, for the transfer of Restricted Data or Critical Nuclear Weapon Design Information (CNWDI).

H. Material That Should be Destroyed. All eligible records are identified and destroyed in accordance with the disposal standards authorization contained in enclosure 4. Destroy obsolete reference material, such as extra copies of speeches, staff papers, news releases, blank forms, reports, and publications. Extra carbon and xerox copies should be eliminated. See enclosure 7 to this Instruction for more detailed instructions.

I. Use of Restricted Column

1. A single classification shall be shown for each accession number.

2. The classification of each document in the box is not shown, only the highest classification in the box.

3. Interfiling only a few classified documents in an accession number that is predominantly unclassified shall be avoided.

4. Example of how to complete Form 135 is shown in figure 8-1.

5. Boxes containing Restricted Data as defined in DoD Direction 5200.30 (reference (i)) or CNWDI shall use the "Q" designation and clearly indicate on the SF 135 that access is restricted to individuals who are cleared for Restricted Data or CNWDI, as appropriate, in addition to further restricting use to only individuals of the office that retired the records.

J. Packing Procedures. The instructions contained in this paragraph govern the arrangement and packing of files for retirement and transfer to the WNRC.

1. General. Regardless of the type of container used for files, containers shall be filled with only one row of file folders, not stacked one on top of the other.

2. Arrangement in Fiberboard Boxes. The following

instructions govern the packing of files:

a. Letter and legal-sized files shall be packed in fiberboard boxes. When filled to capacity, the box holds 15 inches of letter-sized or 12 inches of legal-sized files.

b. The dimensions of the corrugated fiberboard boxes are such that when the containers are filled to capacity with files, no packing material is required between the files and the inner walls of the box. When it is necessary to ship partially filled boxes, the space between the files and the inner walls of the box is packed with crumpled or wadded paper of other suitable packing material to prevent movement of the contents during shipment. Excelsior, shredded paper, or surplus file folders are not used as packing material.

c. Boxes may be filled to capacity whenever sufficient files are available. However, care must be exercised to ensure that boxes are not packed so tightly that files cannot be serviced while in the container, or that it prevents the box from being closed completely with the flaps flat.

3. Packing of Files for Retirement. Permanent files and files having a disposal date shall be packed in separate boxes when they are retired to a records center under separate accession numbers.

K. Packing and Shipping Classified Files. The instructions contained in this paragraph govern the packing and shipping of files classified SECRET and CONFIDENTIAL. The shipment of large quantities of unclassified material in classified shipments is discouraged. As a general rule, provided file integrity is not damaged:

1. For shipments of 10 cubic feet or less in which more than half the material is unclassified, it should be segregated and forwarded as two shipments, one classified, the other unclassified.

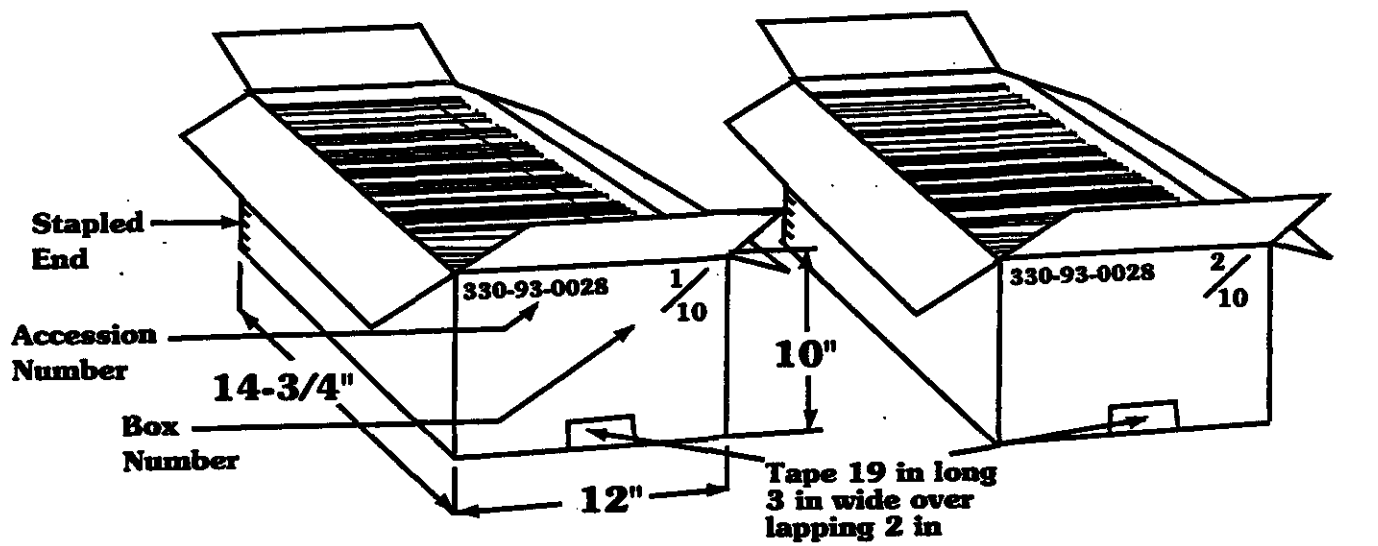
2. For shipments in excess of ten cubic feet containing 25 percent or more unclassified material, the latter material is segregated and forwarded as an unclassified shipment.

Standard Form 135 (SF 135),  
"Records Transmittal and Receipt"

Figure 8-1

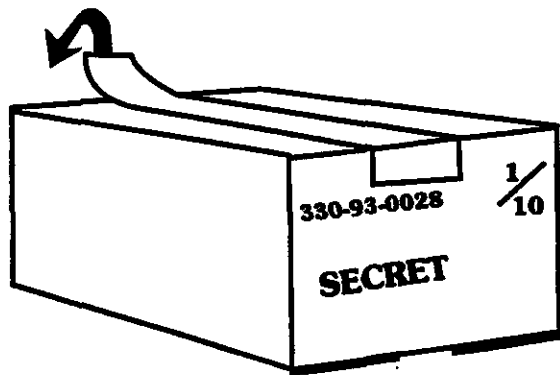
RECORDS TRANSMITTAL AND RECEIPT						Complete and send original and two copies of this form to the appropriate Federal Records Center for approval prior to shipment of records. See specific instructions on reverse.			PAGE 1	OF PAGES		
<b>1. TO</b> (Complete the address for the records center serving your area as shown in 38 CFR 1226.150)  <div style="text-align: center;"> <b>Federal Records Center</b>  <b>Washington National Records Center</b>  <b>Washington, D.C. 20409</b> </div>						<b>5. FROM</b> (Enter the name and complete mailing address of the office retiring the records. The signed receipt of this form will be sent to this address)  <div style="text-align: center;"> <b>Department of Defense</b>  <b>Washington Headquarters Services</b>  <b>Room 5C315</b>  <b>The Pentagon</b>  <b>Washington, D.C. 20301-1155</b> </div>						
<b>2. AGENCY TRANSFER AUTHORIZATION</b>		TRANSFERRING AGENCY OFFICIAL (Signature and title)  OSD Records Administrator			DATE							
<b>3. AGENCY CONTACT</b>		TRANSFERRING AGENCY LIAISON OFFICIAL (Name, office and telephone No.) Verloren Denkmals, OUSD(A) XXX Division, Room 4D901, 695-0000										
<b>4. RECORDS CENTER RECEIPT</b>		RECORDS RECEIVED BY (Signature and title)			DATE							
<b>6. RECORDS DATA</b>												
ACCESSION NUMBER			VOLUME (cu. ft.)	AGENCY BOX NUMBERS	SERIES DESCRIPTION (With inclusive dates of records)	RESTRICTION	DISPOSAL AUTHORITY (Schedule and item number)	DISPOSAL DATE	COMPLETED BY RECORDS CENTER			
RG	FY	NUMBER							LOCATION	SHELF PLAN	CONT. TYPE	AUTO. DISP.
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)
330	92	0210	3		<u>OUSD(A) PROGRAM FILES, 1989-1991</u>  1 Procurement, Surplus Property, Real Property (1989-91)  2 Property, Supplies, Logistics Transportation, Mobilization (1990)  3 Installations, Housing, Maintenance, Construction (1989)	S	OSD AI 15 Para. 1201-09 NCI-330-77-11	PERM. Avail to NARA when 25 yrs old				
NOTE: ACCESS TO THESE RECORDS IS RESTRICTED TO OUSD(A), OSD OFFICIALS ONLY												



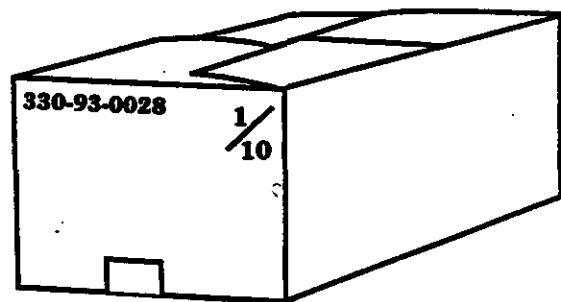


**Letter-size documentation**

**Legal-size documentation**



**Classified Records**



**Unclassified Records**

**Figure 8-2**

**Labeling of Retirement Boxes**

RECALL OF RECORDS FROM THE WNRC

A. Officials Authorized to Make Recalls. The OSD Records Administrator shall maintain an up-to-date list of individuals authorized by each OSD Component head to recall its records. This list shall be provided to the WNRC and corrected as changes occur. Only these individuals and the OSD Records Administrator may recall records. Similarly, each OSD Component designee is responsible for recalling and returning its own records. Responsibility for this extends to Top Secret accessions, which may necessitate agency courier or Defense Courier Service arrangements.

B. Normal Recall Procedures. To obtain reference service on records at the WNRC, an Optional Form 11, "Reference Request - Federal Records Center," will be completed by the requestor. A separate form is used for each item requested. Requesters must provide the accession number, box number, records center location (as shown on SF 135 file). The completed form is mailed to Reference Branch, WNRC, Washington DC 20409, or Stop 386.

An alternative to mailing Optional Form 11s to the Records Center is Centers Information Processing System (CIPS). OSD Records Management Division and others routinely recall retired material using this computerized retrieval service. Customers having high-volume requirements may obtain a CIPS account and access the system directly; organizations that only occasionally recall records may submit requests by memo or listing (not OF 11) of accession and box numbers (no location number needed for CIPS) to the Records Management Division.

Individuals wanting more information about CIPS should contact the Records Management Division. Direct access to CIPS requires an IBM-compatible PC with modem and communications software supporting IBM 3270 emulation.

C. Urgent Requests. Urgent requests must be kept to a bare minimum. An urgent request recalls records needed to complete testimony before the Congress, records required as part of a legal proceeding, actions under the Freedom of Information or Privacy Acts, or records specifically requested by the Secretary of Defense. Emergency recalls will be arranged by the Records Management Division.

DISPOSITION OF PERSONAL PAPERS    NONRECORD MATERIALS

A. Many Government officials, during their tenure in office, accumulate substantial collections of "personal papers" and copies of official documents created solely for convenience of reference. These latter documents, originated, reviewed, signed, or received during an official's time in office can provide an historically valuable supplement to the official files which must be left in the OSD when the official departs.

B. This enclosure describes these two categories of documents and explains what may and what may not be done with them. Note the difference between personal papers and nonrecord materials. The distinction is sometimes blurred, especially when nonrecord materials become part of a collection referred to as an official's "personal papers."

C. Personal papers are not subject to 44 U.S.C. (reference (d)) that pertain to the maintenance and disposal of official records. 36 CFR 1222.36 (reference (e)) defines personal papers as:

1. "...documentary materials, or any reasonably segregable portion thereof, of a private or nonpublic character that do not relate to or have an effect upon the conduct of agency business. Personal papers are excluded from the definition of Federal records and are not owned by the Government."

2. The following are examples of personal papers:

a. Papers accumulated by an official before joining Government service that are not used subsequently in the transaction of any Government business.

b. Materials relating solely to an individual's private affairs, such as outside business pursuits, professional affiliations, or private political associations that do not relate to agency business.

c. Diaries, journals, personal correspondence or other personal notes that are not prepared or used for, or circulated or communicated in the course of, transacting Government business.

3. The following pertain to the maintenance, marking, and handling of personal papers:

a. They shall be clearly designated as such and shall

at all times be maintained separately from the office's official records.

b. If information about private matters and agency business appears in the same document, it shall be copied at the time of receipt, with the personal information deleted, and treated as a Federal record.

c. Materials labeled "personal," "confidential," or "private," or similarly designated, and used in the transaction of public business, are Federal records subject to the provisions of pertinent laws and regulations. The use of a label such as "personal" is not sufficient to determine the status of documentary materials in a Federal office.

4. Personal papers may be removed at the discretion of their creators.

D. Nonrecord materials.

1. As defined by 36 CFR 1222.34 (reference (e)), are Government-owned documentary materials that include:

a. Library and museum materials (only if made or acquired and preserved solely for reference or exhibition).

b. Stocks of publications and other printed documents.

c. EXTRA COPIES OF OFFICIAL DOCUMENTS, if accumulated for the SOLE PURPOSE of ease of reference. Copies of official documents will not be made SOLELY for the purpose of removal or donation. These materials may be removed from Government control providing the following conditions are met:

(1) Unclassified. A departing official may remove unclassified nonrecord materials from Government custody for personal use or for donation to a Presidential Library of the NARA or to some private institution (college, library, historical society, etc.), providing such removal does not violate privacy or any other interest protected by law and has been approved by the OSD Records Administrator.

(2) Classified. Information classified under the provisions of Executive Order 12356 (reference (g)) will not be removed from the Government's control under any circumstances. "Government control" is defined as the ability of the originating agency to regulate access to the materials. Officials may have donated in their names for historical retention classified nonrecord materials to a Government repository such as a Presidential Library, authorized to safeguard national defense information. Access to these documents (aside from the archivists responsible for their custody and maintenance) shall be granted only to those persons who have the requisite security

clearances and whose access has been approved, in accordance with E.O. 12356 (reference (q)), by the agencies who originated the classified material.

2. Note that WORKING FILES such as preliminary drafts and rough notes and other similar materials are classified as OFFICIAL RECORDS when they are circulated for official purposes such as approval, comment, action, recommendation, etc., and when they contain unique information, such as SUBSTANTIVE annotations or comments that add to a proper understanding of the agency's decision-making process or how its mission is accomplished.

3. Any transfer of nonrecord copies of official documents to any Government or private institution must be effected in writing by a deed of gift or other form of legal conveyance. The written instrument must clearly explain the terms under which the donee institution accepts the papers and the protection they will be afforded while in its care, to include mandatory restrictions on access. These restrictions pertain to any of the following: potential violations of personal privacy; Protection of NATIONAL SECURITY INFORMATION; statements made by or to the donor in confidence; materials or information that might prove prejudicial to the conduct of the foreign relations of the United States; and material relating to law enforcement investigations. Any such conveyance will be reviewed by the Department of Defense General Counsel and the OSD Records Administrator before the donor signs it.

4. It is the responsibility of the donor and his or her immediate staff to ensure that the donated materials are screened so that they contain no official agency record copies or other material that can not be removed from the Government's control. The donor is responsible for compliance with all security regulations governing classified information in his or her files until the classified material is properly transferred to another individual or institution or destroyed.

PREPARING RECORDS FOR TRANSFER TO THE WNRC

A. Background. There are two types of records that may be transferred: PERMANENT and TEMPORARY. Permanent records will be held at the FRC for a specified period of time, usually 25 to 30 years, and then offered to the National Archives for accession. Temporary records are held at the FRC until they are ready for destruction and then they are disposed of by FRC personnel, usually from 2 to 10 years after their transfer. Preparing records for transfer is a two-step process: selecting and screening. Preparing the records for actual transfer, packing them, and preparing the paperwork, is covered in enclosure 8 to this Instruction.

BEFORE you begin the process of selecting and screening, you accomplish the following:

1. Ensure that each file is complete and that all papers to be retained are accounted for (such as enclosures and related papers).

2. Ensure that duplicate copies of documents have been destroyed.

3. Remove all mail control forms, classified cover sheets, envelopes, and routing slips, except those containing remarks of significant record value.

4. Mend or reinforce torn or frayed temporary papers with transparent tape. Do not tape nor attempt to mend permanent documents. Torn or frayed permanent documents should be supported as best as is possible in new file folders. NARA personnel will mend such documents using methods and materials designed to ensure their preservation.

5. Assemble related documents as for filing, ensuring that the latest action is on top followed by the basic paper, then the endorsement, beginning with the earliest paper followed by enclosures, in numerical order and lastly the supporting papers.

6. Staple related papers together in the upper left corner; use prong fasteners when the material is too thick to use wire staples.

7. Be sure that all file folder labels, in whatever form, are legible and clearly identify the papers in each folder and be certain that the transmittal document (SF 135) reflects

exactly what is on those labels. Transmittal documents for temporary records must list the beginning and ending file in each box; transmittal documents for permanent records must list all files in every box.

8. Ensure that all the requirements of DoD Regulation 5200.1-R, (reference (h)) are followed in regard to security markings on folders and papers.

B. Selecting Files for Transfer. To be transferred to a Federal Records Center, records must be ELIGIBLE. The following criteria must be met:

1. They must be scheduled for transfer to an FRC. To determine this, check the appropriate files series at enclosure 4 to this Instruction.

2. They must not be needed to carry out current agency operations.

3. They must not be eligible for immediate destruction.

4. They must not be eligible for destruction within 1 year of the date of transfer.

C. Screening.

1. Screening is the removal of documents or folders or other materials that are unnecessary or have no lasting value to the record series being transferred. This includes DUPLICATE copies of documents. Not all files HAVE to be screened.

2. PERMANENT records and records scheduled for retention for 30 years and more MUST be screened and extraneous materials removed.

3. TEMPORARY files; that is, files that will be held at the FRC for a period of time and destroyed there, do not have to be screened, but you should remember that to be useful to anyone, your files should always be slim and trim and ready for reference. In deciding whether or not to screen, consider the following:

a. Can complete folders be removed?

b. Can disposable material be separated easily from individual folders?

c. Can materials to be removed be easily identified?

d. Is access to the records to be screened easy?

e. Is physical processing such as the removal of

fasteners necessary?

4. Remember these rules:

a. Screening problems will not arise if records to be retained permanently or for long periods are not filed with papers of lesser value.

b. If you have to call papers back from the FRC for reference (and this is always a possibility), the more clearly they are marked and organized, the easier it will be to find what you are looking for. If you have done your work thoroughly, you can call for individual FILE FOLDERS instead of whole boxes from a shipment of records.



ELECTRONIC RECORDS

A. Definition. Electronic records are those stored in a form that only a computer can process such as magnetic tapes, disks, drums, video files, and optical disks. There are two broad categories of electronic records:

1. Records generated in a central ADP facility. These are created or used by data input personnel, computer operators, programmers, analysts, and systems administrators.

a. They may include files required to manage system housekeeping, performance tuning, system usage, log-in and password control, and audit trail files.

b. All files included in this category must be individually appraised for permanent or long-term value, particularly those data bases created for action officers and/or offices that may contain significant sets of statistical or analytical data not duplicated in paper records. Where an electronic file duplicates a paper one, the electronic version need not be retained as long as the hard copy, but it must be included in the records schedule.

c. Originators of electronic data systems must ensure that adequate and up-to-date technical documentation for each system is maintained. The minimum required is a narrative description of the system; physical and technical characteristics of the records, including a record layout that describes each field including its name, size, starting or relative position, and a description of the form of the data (alphabetic, zoned decimal, packed decimal, or numeric), or a data dictionary or the equivalent information associated with a data base management system including a description of the relationship between data elements in data bases; and any other technical information needed to read or process the records.

d. Users must also furnish the information required by the National Archives when submitting a new electronic record file for approval. This information is provided to the NARA on NA Form 14028, "Information System Description", as an attachment to SF 115, "Request for Records Disposition Authority". SF 115 is prepared by the Records Management Division and forwarded to the National Archives. Copies of NA Form 14028 are available from the Records Management Division. The following information is required:

(1) Name of the system. Use the commonly used name and acronym of the system.

(2) System control number. Specify the internal control number assigned for reference, control, or cataloging purposes.

(3) Agency program supported by the system.

(4) Purpose of the system. Indicate the reasons for the system and the requirements met by it.

(5) Data input and sources. Describe the primary data input sources and the providers of the data to the system.

(6) Major output. Show the system's main products and the frequency of their preparation. Also state whether the information is transferred to other systems.

(7) Information content. Describe the main subject matter, date coverage, time span, geographic coverage, update cycle, and other major characteristics. Also state whether it saves superseded information and whether it contains microdata or summary data. Indicate the location of documentation needed to read and understand the files and list any restrictions on their access and use, national security, privacy, or other.

## 2. Records created in an office setting.

a. Examples are word processing, desktop publishing, spreadsheet, and database files; electronic mail (e-mail); electronic calendars; appointment, telephone, trip and visit logs; finding or tracking aids, and other "helpers" employed to enhance the effectiveness of the system. When these electronic files are used strictly as backup for paper record copies, or they contain only transitory information that does not document the activities of an office, the 1602 series for disposable electronic records will be used. The electronic file may be erased when the hard copy has been generated or when the data is no longer needed. However, users may elect not to erase certain electronic files, particularly if they are reusable for later revision of manuals, directives, recurring memoranda, and spreadsheet models.

b. An office that relies only on electronic versions of files for any of its official records must appraise and schedule them. Some components may have a "hybrid" system; e.g., BOTH paper and electronic versions of their official records. Offices purchasing new systems or upgrading old ones must ensure that records disposition instructions for the data are incorporated into the system's design.

B. General. When electronic records meet the criteria established for Federal records -- information made or received in connection with the transaction of public business and

appropriate for preservation as evidence of an agency's organization, functions, policies, etc., or because of their informational value -- those who create and use them must ensure their proper disposition, as for paper records, where the originator or user, in coordination with the OSD Records Administrator, designs a disposition schedule which is approved by the Archivist of the United States.

1. Mission-related data bases, as distinct from those purely administrative files described in 1602-02, must be scheduled as long-term or permanent records. Records officers must pay particular attention to data bases that contain significant statistical data or information related to policy-making functions and schedule them.

2. The management of electronic records is the same as that for paper records: Files needed often for the conduct of business should be stored conveniently for immediate access. Those less frequently needed should be stored on tape, disk, or other media, for retrieval when required. Files not requiring long-term retention or not needed to document the business of an organization, such as draft versions of documents, should be deleted from the storage media in accordance with the appropriate AI 15 disposition schedules. Classified information should be deleted in accordance with DoD 5200.1-R (reference (h)) and AI 26 (reference (p)).

C. Electronic Recordkeeping Systems. An example of an electronic recordkeeping system in a "paperless office" is one where the original records are generated by a word processor or a personal computer and stored on a magnetic disk. While paper copies are printed for distribution, the official record copies are retained on a mass storage device. After a specified period of time, they are erased or transferred to a magnetic tape for eventual transmittal directly to the NARA for permanent retention.

1. Electronic records are not forwarded to a Federal Records Center for retention or disposal, because the FRCs do not have specialized maintenance equipment to ensure the retention of data on magnetic tape for permanent files.

2. The key to determining the retention of any record, electronic or paper, is its value to its creator. When information exists in both machine-readable and hard-copy formats, including computer output microform (COM), various factors bear on deciding which medium should be retained for archival purposes. Among these are the relative costs of storage and preservation, the relative convenience of reference, and the

facility with which most hard-copy documents may be regenerated from machine-readable files.

D. Managing Electronic Records. In practice, there is no difference between managing electronic and paper records.

1. The contents of the computer's directory or the sum of all electronic "folders" equates to the traditional file drawer; each computer data subdirectory or electronic "folder" is the equivalent of a paper file folder; files in directories or "folders" are individual "documents" in the folder. Directory or "folder" names are like file folder labels in that they identify the broad functional category of the information contained in them; file names are like the filing instructions written on papers before they are put away.

2. Each document contained in electronic form must be identified sufficiently to enable authorized personnel to retrieve, protect, and carry out its disposition.

E. Filenaming Conventions.

1. Naming electronic files resembles labeling paper file folders except for two important differences:

a. Most computer operating systems limit the length of a filename, in some instances to a total of eleven characters (eight for a name with three as an extension); others permit 25-30 characters, allowing more descriptive file naming.

b. The other difference is that conventions for file naming are not standardized even in offices with good records management programs. It is essential that file-naming conventions be standardized.

2. Software programs that can locate a particular file by searching for a text string are also available. This capability is incorporated in some word processing programs or is available as a separate utility program.

F. Labels. Identification of electronic records is accomplished at two levels:

1. External. Actual labels affixed to individual diskettes and tapes. To prevent damage to the medium, records information should be written or typed before the label is affixed; never erase information on a label once it is in place. When affixing a label to a disk, choose an area away from all holes. Be sure labels identify the hardware and software that will read the information stored on the medium. Labels should contain the same information required on paper file folder labels: Security classification (if applicable), file series

designation, description, and disposition instructions.

2. Internal. Electronic labels located in subdirectories or "folders" provide sufficient information to find files on hard disks, floppies, magnetic tape, etc. The file series designations that appear in this Instruction should also be used to name subdirectories. For example, a subdirectory labeled 70202PD.2 would show Community Relations Programs Division files containing correspondence on arrangements for briefings, conferences, tours, etc., that are destroyed after 3 years. Any logical combination of alphanumeric characters permitted by the operating system and descriptive of the series is appropriate in naming subdirectories or "folders".

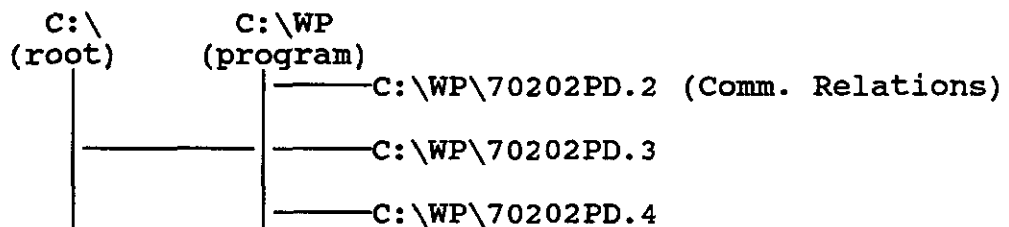


Figure 12-1  
Computer Directory Showing Office Subdirectories

#### G. Guarding Against Data Loss.

1. The best defense against lost data is making frequent backup copies of files. Data files should be backed up onto floppy disks or tapes after each change or update, but at a minimum backups should be done weekly. Magnetic tape is preferable for storage of backup material because floppy diskettes are more vulnerable to mishandling, and loss of data is common with this medium. When diskettes are the only backup medium available, they may be used for temporary storage of both permanent and temporary records. If possible, the backup media should be stored in a separate area from the source data to provide additional insurance against data loss.

2. Additional causes of data loss are equipment failure and power outages. In central processing facilities and minicomputer sites, as well as offices supported by local area networks, system failures are a relatively common occurrence. Users should save files frequently. A program feature that permits a user to save a file without exiting can be a very useful hedge against data loss when the equipment goes down.

3. When a system failure is caused by a power supply problem, data loss may be eliminated or minimized by the use of Uninterruptible Power Supply (UPS) equipment. UPS equipment provides temporary emergency power to a system, allowing operator personnel time to alert users to save and close files and to permit bringing a computer system down with virtually no loss of user data. A good standby power supply with filtration and surge suppression is recommended in multi-user computer environments where there is danger of data loss because of an unreliable power source.

4. Single-user computers and individual workstations can obtain some protection against voltage spikes, overvoltages and surges with relatively inexpensive "surge protector" devices. These protect against some of the problems encountered when using commercial AC power, but not against sags, brownouts, and blackouts, which comprise most of the problems. Although protectors can lengthen the life of computer components, they are of no help under low or no-voltage conditions. Saving data frequently and making backups remains the best way to guard against data loss. Users are also cautioned about inexpensive surge protectors which deteriorate over time, making it virtually impossible to detect when they are no longer effective. Whenever possible, users should replace inexpensive ones with unlimited life induction coil surge protectors.

H. Optical Disk Systems. This technology is having a revolutionary impact on the storage and retrieval of large quantities of information, and its acquisition is encouraged wherever its use proves cost effective. However, because Optical Disk (OD) systems are hardware- and software-dependent and since standards have not yet been developed to ensure transfer of data from one system to another, the National Archives CANNOT presently accession PERMANENT records stored on ODs.

1. OD technology may be used for all records authorized for disposal in the current files area, consistent with the lifespan of the disk medium itself.

2. Permanent records may be stored on ODs while retained by the originating agency. However, they must be converted to a medium acceptable to the NARA either when entered into the system or when transferred to NARA's legal custody. At the present time, acceptable media are hardcopy paper and one-half inch reel-to-reel or 3480 class cartridge magnetic tape.

3. Analog videodiscs that typically contain photographs are one type of optical disk that can be accessioned by the NARA providing no interactive software or nonstandard equipment is required to read them. Original photographs appraised as permanent and copied onto a videodisc must be scheduled for transfer to the NARA together with a copy of the videodisc.

Likewise, compact disks used for digital audio playback may be transferred because they use a standard player and require no special software to use.

I. Acquisition and Upgrading of Systems. The OSD Components contemplating the acquisition of systems or upgrading existing ones should contact the Records Management Division for guidance in this area.

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